# U.S. Department of Education

**Washington, D.C. 20202-5335**

# APPLICATION FOR GRANTS UNDER THE

**STATEWIDE LONGITUDINAL DATA SYSTEM RECOVERY ACT GRANTS**
**CFDA # 84.384A**
**PR/Award # R384A100030**

Closing Date: NOV 19, 2009

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## Forms



## Narratives



This application was generated using the PDF functionality. The PDF functionality automatically numbers the pages in this application. Some pages/sections of this application may contain 2 sets of page numbers, one set created by the applicant and the other set created by e-Application's PDF functionality. Page numbers created by the e-Application PDF functionality will be preceded by the letter e (for example, e1, e2, e3, etc.).

| **Application for Federal Assistance SF-424** | | Version 02 |
|---|---|---|
| * 1. Type of Submission<br>[ ] Preapplication<br>[X] Application<br>[ ] Changed/Corrected Application | * 2. Type of Application:<br>[X] New<br>[ ] Continuation<br>[ ] Revision | * If Revision, select appropriate letter(s):<br>* Other (Specify) |
| * 3. Date Received:<br>12/3/2009 | 4. Applicant Identifier: | |
| 5a. Federal Entity Identifier: | * 5b. Federal Award Identifier:<br>NA | |
| **State Use Only:** | | |
| 6. Date Received by State: | 7. State Application Identifier: | |
| **8. APPLICANT INFORMATION:** | | |
| * a. Legal Name: AK Dept. of Ed. & Early Development | | |
| * b. Employer/Taxpayer Identification Number (EIN/TIN):<br>926001185 | | * c. Organizational DUNS:<br>809386824 |
| **d. Address:** | | |
| * Street1:<br>Street2:<br>* City:<br>County:<br>State:<br>Province:<br>* Country:<br>* Zip / Postal Code: | P.O. Box 110500<br><br>Juneau<br><br>AK<br><br>USA<br>99811 | |
| **e. Organizational Unit:** | | |
| Department Name:<br>AK Dept. of Education and Early Development | | Division Name:<br>Teaching and Learning Support |
| **f. Name and contact information of person to be contacted on matters involving this application:** | | |
| Prefix: Ms. | * First Name: | Stephanie |
| Middle Name: | | |

| | |
|---|---|
| * Last Name: | Butler |
| Suffix: | |
| Title: | Director of Program Operations |
| Organizational Affiliation: | |
| Alaska Commission on Postsecondary Education, Dept. of Education & Early Development | |
| * Telephone Number: | (907)465-6743 Fax Number: (907)465-3293 |
| * Email: | STEPHANIE.BUTLER@ALASKA.GOV |

**Application for Federal Assistance SF-424** Version 02

**9. Type of Applicant 1: Select Applicant Type:**

A: State Government

Type of Applicant 2: Select Applicant Type:

Type of Applicant 3: Select Applicant Type:

* Other (specify):

**10. Name of Federal Agency:**

U.S. Department of Education

**11. Catalog of Federal Domestic Assistance Number:**

84.384A

CFDA Title:

Statewide Longitudinal Data System Recovery Act Grants

*** 12. Funding Opportunity Number:**

ED-GRANTS-072909-001

Title:

Institute of Education Sciences(IES)Grant Program for Statewide Longitudinal Data Systems Recovery Act Program (ARRA) CFDA 84.384A

**13. Competition Identification Number:**

Title:

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

*** 15. Descriptive Title of Applicant's Project:**

Alaska P-Career Statewide Longitudinal Data System

Attach supporting documents as specified in agency instructions.

**Attachment:**
Title :
File :

**Attachment:**
Title :
File :

**Attachment:**
Title :
File :

**Application for Federal Assistance SF-424** Version 02

**16. Congressional Districts Of:**
* a. Applicant: AK-ALL * b. Program/Project: AK-ALL

Attach an additional list of Program/Project Congressional Districts if needed.
**Attachment:**
Title :
File :

**17. Proposed Project:**
* a. Start Date: 7/1/2010 * b. End Date: 6/30/2013

**18. Estimated Funding ($):**

| | |
|---|---|
| a. Federal | **$ 12841109** |
| b. Applicant | **$ 0** |
| c. State | **$** |
| d. Local | **$** |
| e. Other | **$** |
| f. Program Income | **$** |
| g. TOTAL | **$ 12841109** |

*** 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**

[ ] a. This application was made available to the State under the Executive Order 12372 Process for review on .
[ ] b. Program is subject to E.O. 12372 but has not been selected by the State for review.
[X] c. Program is not covered by E.O. 12372.

*** 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes", provide explanation.)**

[ ] Yes [X] No

**21. *By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)**

**[X] ** I AGREE**

** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

| | | | |
|---|---|---|---|
| Prefix: | Mr. | * First Name: | Larry |
| Middle Name: | | | |
| * Last Name: | LeDoux | | |
| Suffix: | | | |

Title: Alaska Commissioner of the Department of Education and Early Development

| | | | |
|---|---|---|---|
| * Telephone Number: | (907)465-2800 | Fax Number: | (907)465-4156 |

* Email: LARRY.LEDOUX@ALASKA.GOV

* Signature of Authorized Representative:

* Date Signed:

**Application for Federal Assistance SF-424** Version 02

*** Applicant Federal Debt Delinquency Explanation**

The following field should contain an explanation if the Applicant organization is delinquent on any Federal Debt. Maximum number of characters that can be entered is 4,000. Try and avoid extra spaces and carriage returns to maximize the availability of space.

**U.S. DEPARTMENT OF EDUCATION**

**BUDGET INFORMATION**

**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
AK Dept. of Ed. & Early Development

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

## SECTION A - BUDGET SUMMARY

## U.S. DEPARTMENT OF EDUCATION FUNDS

| Budget Categories | Project Year 1(a) | Project Year 2 (b) | Project Year 3 (c) | Project Year 4 (d) | Project Year 5 (e) | Total (f) |
|---|---|---|---|---|---|---|
| 1. Personnel | $ 760,967 | $ 766,877 | $ 781,374 | $ 0 | $ 0 | $ 2,309,218 |
| 2. Fringe Benefits | $ 259,766 | $ 261,889 | $ 263,991 | $ 0 | $ 0 | $ 785,646 |
| 3. Travel | $ 130,500 | $ 139,000 | $ 231,900 | $ 0 | $ 0 | $ 501,400 |
| 4. Equipment | $ 50,000 | $ 500,000 | $ 0 | $ 0 | $ 0 | $ 550,000 |
| 5. Supplies | $ 30,000 | $ 30,000 | $ 30,000 | $ 0 | $ 0 | $ 90,000 |
| 6. Contractual | $ 5,418,687 | $ 2,817,354 | $ 368,804 | $ 0 | $ 0 | $ 8,604,845 |
| 7. Construction | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 8. Other | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 9. Total Direct Costs (lines 1-8) | $ 6,649,920 | $ 4,515,120 | $ 1,676,069 | $ 0 | $ 0 | $ 12,841,109 |
| 10. Indirect Costs* | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 11. Training Stipends | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 12. Total Costs (lines 9-11) | $ 6,649,920 | $ 4,515,120 | $ 1,676,069 | $ 0 | $ 0 | $ 12,841,109 |

***Indirect Cost Information *(To Be Completed by Your Business Office)*:**

If you are requesting reimbursement for indirect costs on line 10, please answer the following questions:

(1) Do you have an Indirect Cost Rate Agreement approved by the Federal government? [ ] Yes [ ] No

(2) If yes, please provide the following information:

Period Covered by the Indirect Cost Rate Agreement: From: __/__/____ To: __/__/____ (mm/dd/yyyy)

Approving Federal agency: [ ] ED [ ] Other (please specify): _____ The Indirect Cost Rate is _____%

(3) For Restricted Rate Programs (check one) -- Are you using a restricted indirect cost rate that:

[ ] Is included in your approved Indirect Cost Rate Agreement? or, [ ] Complies with 34 CFR 76.564(c)(2)? The Restricted Indirect Cost Rate is _____%

ED Form No. 524

**U.S. DEPARTMENT OF EDUCATION**

**BUDGET INFORMATION**

**NON-CONSTRUCTION PROGRAMS**

OMB Control Number: 1894-0008

Expiration Date: 02/28/2011

Name of Institution/Organization:
AK Dept. of Ed. & Early Development

Applicants requesting funding for only one year should complete the column under "Project Year 1." Applicants requesting funding for multi-year grants should complete all applicable columns. Please read all instructions before completing form.

## SECTION B - BUDGET SUMMARY
## NON-FEDERAL FUNDS

| Budget Categories | Project Year 1(a) | Project Year 2 (b) | Project Year 3 (c) | Project Year 4 (d) | Project Year 5 (e) | Total (f) |
|---|---|---|---|---|---|---|
| 1. Personnel | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 2. Fringe Benefits | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 3. Travel | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 4. Equipment | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 5. Supplies | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 6. Contractual | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 7. Construction | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 8. Other | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 9. Total Direct Costs (lines 1-8) | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 10. Indirect Costs | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 11. Training Stipends | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |
| 12. Total Costs (lines 9-11) | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 | $ 0 |

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Standard Form 424B (Rev.7-97)



PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

1. Has the legal authority to apply for Federal assistance, and the institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management, and completion of the project described in this application.

2. Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

3. Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of personal or organizational conflict of interest, or personal gain.

4. Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

5. Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. "4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

6. Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. "1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. '794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act

9. Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. "276a to 276a-7), the Copeland Act (40 U.S.C. '276c and 18 U.S.C. "874) and the Contract Work Hours and Safety Standards Act (40 U.S.C. " 327-333), regarding labor standards for federally assisted construction sub-agreements.

10. Will comply, if applicable, with flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is $10,000 or more.

11. Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in floodplains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. "1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. "7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

12. Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. "1721 et seq.) related to protecting components or potential components of the national wild and scenic rivers system.

13. Will assist the awarding agency in assuring compliance

of 1975, as amended (42 U.S.C. " 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255), as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) " 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. " 290 dd-3 and 290 ee 3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. ' 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the specific statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

7. Will comply, or has already complied, with the requirements of Titles II and III of the uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provide for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

8. Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. "1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. '470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. "469a-1 et seq.).

14. Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported by this award of assistance.

15. Will comply with the Laboratory Animal Welfare Act of 1966 (P.L. 89-544, as amended, 7 U.S.C. "2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

16. Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. "4801 et seq.) which prohibits the use of lead- based paint in construction or rehabilitation of residence structures.

17. Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organizations."

18. Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

| |
|---|
| **Signature of Authorized Certifying Representative:** |
| **Name of Authorized Certifying Representative:** Larry LeDoux |
| **Title:** Commissioner |
| **Date Submitted:** 12/02/2009 |

Approved by OMB 0348-0046 Exp.

# Disclosure of Lobbying Activities

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352

| **1. Type of Federal Action:** | **2. Status of Federal Action:** | **3. Report Type:** |
|---|---|---|
| [ ] Contract<br>[ ] Grant<br>[ ] Cooperative Agreement<br>[ ] Loan<br>[ ] Loan Guarantee<br>[ ] Loan Insurance | [ ] Bid/Offer/Application<br>[ ] Initial Award<br>[ ] Post-Award | [ ] Initial Filing<br>[ ] Material Change<br>**For Material Change only:**<br>Year: 0Quarter: 0<br>Date of Last Report: |
| **4. Name and Address of Reporting Entity:**<br>[X] Prime [ ] Subawardee<br>Tier, if known: 0<br>Name: AK Dept. of Ed. and Early Development<br>Address: P.O. Box 110500<br>City: Juneau<br>State: AK<br>Zip Code + 4: 99811-0500<br><br>**Congressional District, if known:** 01 | **5. If Reporting Entity in No. 4 is a Subawardee, Enter Name and Address of Prime:**<br><br>Name:<br>Address:<br>City:<br>State:<br>Zip Code + 4: -<br><br>**Congressional District,** if known: | |
| **6. Federal Department/Agency:** Dept. of Ed., Inst. of Ed. Sciences | **7. Federal Program Name/Description:** SLDS Recovery Act Grants<br><br>CFDA Number, if applicable: 84.384A | |
| **8. Federal Action Number,** if known: | **9. Award Amount,** if known: $0 | |
| **10. a. Name of Lobbying Registrant** (if individual, last name, first name, MI): N/A<br>Address:<br>City:<br>State:<br>Zip Code + 4: - | **b. Individuals Performing Services** (including address if different from No. 10a)<br>(last name, first name, MI):<br>Address:<br>City:<br>State:<br>Zip Code + 4: - | |
| **11.** Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure. | Name: N/A<br>Title: N/A<br>Applicant: AK Dept. of Ed. & Early Development<br>Date: 12/03/2009 | |
| **Federal Use Only:** | | Authorized for Local Reproduction<br>Standard Form LLL (Rev. 7-97) |

## CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements.

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal Loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan or cooperative agreement, the undersigned shall complete and submit Standard Form - LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance.

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee or any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

| APPLICANT'S ORGANIZATION | |
|---|---|
| AK Dept. of Ed. & Early Development | |
| PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE | |
| Prefix: Mr. First Name: Larry | Middle Name: |
| Last Name: LeDoux | Suffix: |
| Title: Commissioner | |
| Signature: _____ | Date: 12/02/2009 |

ED 80-0013 03/04

**SUPPLEMENTAL INFORMATION**
**REQUIRED FOR**
**DEPARTMENT OF EDUCATION GRANTS**

**1. Project Director:**

| Prefix: | * First Name: | Middle Name: | * Last Name: | Suffix: |
|---|---|---|---|---|
| Ms. | Stephanie | J | Butler | |

Address:

* Street1: P.O. Box 110505

Street2:

* City: Juneau

County:

* State: AK* Zip / Postal Code: 99811 * Country: **USA**

| * Phone Number (give area code) | Fax Number (give area code) |
|---|---|
| (907)465-6743 | (907)465-3293 |

Email Address:

STEPHANIE.BUTLER@ALASKA.GOV

**2. Applicant Experience**

Novice Applicant [ ] Yes [ ] No [X] Not applicable

**3. Human Subjects Research**

Are any research activities involving human subjects planned at any time during the proposed project period?

[X] Yes [ ] No

Are ALL the research activities proposed designated to be exempt from the regulations?

[X] Yes Provide Exemption(s) #: #1(b) and #4

[ ] No Provide Assurance #, if available:

**Please attach an explanation Narrative:**

**Attachment:**
Title : Alaska's ANSWERS Explanation Narrative
File : G:\workgroups\SLDS Project\Final Versions\ED Supplemental Information SF-424

Explanation Narrative.pdf

**DEPARTMENT OF EDUCATION SUPPLEMENTAL INFORMATION FOR SF-424**
**SLDS Recovery Act Grants Application – Alaska's ANSWERS**

The proposed research is exempt under (1)(b) based on its being specifically designed to improve instruction by comparing data, such as graduation rates among different student populations, at an individual level for teacher use as well as in aggregate. The research further qualifies for exemption under (4) based on its using only existing data which will have all PII stripped, and will also be subject to other controls such as small cell suppression, to ensure subjects cannot be individually identified, directly or indirectly.

# Project Narrative

## Project Narrative - Project Abstract

Attachment 1:
Title: **Project Abstract - Alaska's ANSWERS** Pages: **1** Uploaded File: **G:\workgroups\SLDS Project\Final Versions\Project Abstract_Alaska's ANSWERS.pdf**

**Project Abstract:** Alaska's ANSWERS (**A**ccountability and **N**avigation: **S**tudent to **W**age **E**arner **R**oadmap for **S**uccess)

Consistently ranking near the bottom in educational performance measures when compared to the other 49 states, Alaska has a compelling need to stem the losses from its educational pipeline. Without a change, Alaska's citizens of tomorrow are foregoing the collective and individual benefits of postsecondary education and workforce preparedness. The first step, which Alaska has already taken, was to ask "Why isn't Alaska doing better?" Having asked that question, the next step - one that Alaska proposes to take with this grant application - is answering that question, both at the individual student level, and at the program level.

Independent of, but also in preparation for this grant application, Alaska invested in a data summit during the summer of 2009, followed by a comprehensive evaluation of the data availability and capabilities that existed in the state. Based on the findings of that evaluation, Alaska gained valuable insight into its current data situation and is poised to take the next step, pursuing funds to effectively and efficiently address education data system needs. The prior Alaska SLDS grant laid the groundwork for continued and expanded development of the state's SLDS. A major component that Alaska will leverage is its capability to collaborate with state and local agencies and entities to develop cost-efficient, sustainable systems to address policy and program needs.

Alaska proposes a five-project application to increase the capabilities of its P-12 education data system and expand linkages from the P-12 education data system to postsecondary data, workforce, and other outcomes data. This will enable the state to track student progression, completions, and outcomes through Alaska's education system, establishing a true P-20 education data system, and beyond. The five projects are:

1) P-12, Postsecondary, and Department of Labor Data Matching
2) Expansion of P-12 Program Outcomes Data Collected
3) SLDS Data Audit System
4) Data Mart/Data Reporting and Analysis System
5) Student Transcript/Teacher Information Inclusion

The components needed to implement these five projects address each of the seven capabilities and twelve elements that compose the SLDS system requirements. The overarching direction for the five projects is a set of critical policy questions that were identified via statewide stakeholder collaboration. The efforts of this grant will provide answers to those critical policy questions and thus enable the state to improve the condition of education in Alaska, transforming those who successfully complete an educational program to be productive contributors to the economy of Alaska.

# Project Narrative

## Project Narrative - Project Narrative

Attachment 1:
Title: **Project Narrative-Alaska's ANSWERS** Pages: **30** Uploaded File: **G:\workgroups\SLDS Project\Final Versions\Project Narrative_Alaska's ANSWERS.pdf**

## Project Narrative: Alaska's ANSWERS

### (A) NEED FOR THE PROJECT

As the globalized knowledge economy has driven demand for a well-educated workforce, and as the United States has slipped relative to other nations in the share of its population with postsecondary education or training, the need for improving educational outcomes and reducing educational attainment gaps has become increasingly apparent. At the same time, there has been a growing recognition of how the existing data systems in many states, including Alaska, are limited in terms of providing the quality data needed to adequately inform policymakers. Research conducted by the National Center for Higher Education Management Systems (NCHEMS), based on NCES data, reveals that the state of Alaska, in comparison with the other 49 states, consistently ranks near the bottom in educational performance measures, including:

- 9th graders graduating from high school 42nd
- High school seniors going directly to college 46th
- College freshman returning for a second year 50th
- 9th graders receiving a baccalaureate degree within 10 years 50th

Alaska must better prepare students to be successful in the workforce of the 21st century. To do so, creating the ability to track student progression from the P-12 environment, through postsecondary into the workforce is a vital capability that must be developed in order to provide the means to effectively measure student performance and the effectiveness of various programs and interventions. Independent of, but also in anticipation of and preparation for the American Recovery and Reinvestment Act (ARRA) Statewide, Longitudinal Data System (SLDS) grant opportunity, Alaska hosted a June 2009 data summit of key stakeholders with assistance from the Western Interstate Commission for Higher Education (WICHE) and its partner, NCHEMS, to begin gathering information and developing consensus on the need to develop a statewide longitudinal data system spanning three sectors: pre-kindergarten through twelfth (P-12) grade, postsecondary education, and labor/employment. At that time, the group adopted the goal for Alaska to build capacity to respond to key public policy questions relating to the efficacy of its education and workforce training systems in preparing citizens to be successful in our economy and society. Those key questions that Alaska must become able to answer address graduation and dropout issues (who, and more important for prevention of dropouts, why), postsecondary preparedness (student's need for remediation), measurement of the efficacy of intervention programs, and retention of completers in the state to contribute to the state's economy.

Alaska concluded, as the next step, it would be essential to obtain external expertise to examine Alaska's position regarding readiness for development of a larger P-20 SLDS project. Alaska further engaged the expertise of WICHE and NCHEMS to conduct a landscape review of existing data systems, to include the data elements maintained, how they are being used, and the degree to which information held by individual state agencies is shared among them. The results of the review confirmed Alaska's preparedness to move forward in expanding the SLDS

to support transparency, accountability, and educational improvement (see the WICHE/NCHEMS report in Appendix D).

Alaska has a strong history of collaboration through existing relationships with Native organizations and community organizations. CASHE (Coalition of Alaskans Supporting Higher Education), developed by the Alaska Commission on Postsecondary Education (ACPE), the University of Alaska (UA), and Native organizations, has demonstrated success in coalition-building by attracting a Lumina grant to bring College Goal Sunday to Alaska. Another example is the Alaska Career Information System (AKCIS), an interactive Web-based career planning tool made available to Alaska school districts at no charge through the collaboration of ACPE, the Alaska Department of Labor and Workforce Development (DOLWD) and the Alaska Department of Education and Early Development (EED) to share responsibility for development, deployment and maintenance of this statewide career planning resource.

Specific to the WICHE/NCHEMS' data landscape review, several state and non-state agencies and units were contacted as collaborators in identifying the needs of an Alaska SLDS. These entities include:

1. ANCSA Education Consortium – Alaska's Native education foundation
2. Alaska Commission on Postsecondary Education
3. Anchorage School District – Alaska's largest school district, representing ~40% of total state enrollment
4. Department of Corrections
5. Department of Education and Early Development (EED) – Alaska's state education agency
6. Department of Health and Social Services
7. Department of Labor and Workforce Development
8. Department of Revenue, Permanent Fund Dividend Division (PFD)
9. Institute for Social and Economic Research – Alaska's public policy research organization
10. University of Alaska, Planning and Institutional Research

*Status of Existing Longitudinal Data System Work in Alaska*

In FY06, EED received a $3.5 million award through previous funding from the Institute for Education Sciences, National Center for Education Statistics, U.S. Department of Education, to build a statewide P-12 longitudinal data system. Those funds were used to advance the Unity Project, a statewide effort to meet NCLB's present and future challenges regarding education data by unifying over 20 disparate data collections into one unified data structure and to deliver accurate, timely and accessible P-12 student-level data to stakeholders. A major goal of that undertaking was to create the first statewide longitudinal system for Alaska's P-12 students to allow for more effective decision-making among P-12 professionals. The Unity Project's goal was broad in scope with a total of seven phases, only the first four of which were included in the FY06 federal grant. The work supported by this federal grant is now nearing its end, with Phase IV complete. Phase V will include establishing the collection of school finance data, audited expenditures/revenues, average daily membership, impact aid, grants, federal allocation and state program dollars. Phase VI will expand upon the collection of facilities related data. Finally, Phase VII plans for the continuation of the collection of certified and

classified staff data. This phase will facilitate the initial steps for the eventual linkages between teachers and the students they teach.

The Unity Project accomplished several goals critical to sustaining work on a P-20/workforce longitudinal data system. The Unity Project electronically eliminated barriers to district level reporting and creating statewide data snapshots. The Unity Project also enhanced the framework for collecting individually identifiable records at the state level for all public P-12 students by further automating the process. Alaska proposes to leverage the work started with the Unity Project to design and deploy an efficient expansion of its SLDS into other areas of education, including institutions of higher education, and to coordinate with other state agencies to track student outcomes once they leave Alaska's education system, and as they progress (or fail to progress) through Alaska's education system. During the development of the Unity Project, EED was able to facilitate stakeholder buy-in, which was essential especially given Alaska's isolated districts and historical reluctance to share information. As a result of these prior efforts, the stage has been set. The State of Alaska considers this proposal as a priority, recognizing it is essential to move forward with the SLDS expansion now, due to the costs associated with delaying progress and losing momentum.

This early work was focused on P-12 data systems only, and work is now needed to link with the postsecondary sector. At the postsecondary level, UA's statewide office maintains access to individual-level records for all its enrollees. Given the limited number of non-UA providers of postsecondary education in Alaska, this means UA has information on the vast majority of postsecondary participants in the state. Yet apart from linking data in order to respond to federal reporting requirements, such as for Perkins participants, there have been no systematic efforts to link student data across the P-12 and postsecondary levels. The major obstacle standing in the way of making such linkages is that the student information systems at UA and EED use different student identifiers. Also, while UA captures students' social security numbers (for reporting related to tuition tax credits for the Internal Revenue Service), EED assigns its own unique student ID rather than collect student social security numbers. Recently, the UA system has been accepting electronic high school transcripts for some enrollees. But to date, these transcripts are imported only as image files, so while they include the student's EED identifier number, there has been little activity so far to electronically obtain the information contained within them for use in populating UA's student information system. Regardless, a UA modification of its student information system to capture the EED student identifier would be a partial solution at best, since it would not provide for matching with workforce data, nor would it include students who may not have an EED identifier. Furthermore, UA capture of the EED identifier would not address the question of tracking postsecondary enrollment at other institutions.

Labor data is the third critical component in the state's data alignment goals. Alaska's DOLWD currently maintains several unique and confidential administrative data stores. The primary data source is historical Alaska unemployment insurance (UI) wage records containing employer, industry, occupation, place of work and earnings for most wage and salary workers in Alaska, using the SSN as the unique individual identifier. The data is confidential and is generally not reported outside DOLWD except in aggregate reports.

In addition to the UI wage record information, DOLWD has agreements with and access to a variety of state and national databases that may be used to track the outcomes of a variety of programs as specified in each of the associated data sharing agreements. These administrative databases include:

1. Alaska unemployment insurance recipients
2. Alaska GED recipients
3. Alaska education and training programs eligible for the Workforce Investment Act (WIA) funding (WIA Eligible Training Providers)
4. WIA and State Training and Employment Program (STEP) participants
5. Alaska Permanent Fund Dividend (PFD) files to determine current residency status and residence location in Alaska
6. Alaska secondary student records
7. Alaska occupational license files
8. Alaska business license files
9. National wage record interchange system (WRIS)
10. Federal military and civilian payroll records
11. US Postal Service records
12. National Student Clearinghouse records providing information on continuing postsecondary enrollments and degrees earned

Although matching individual data at the P-12 and postsecondary levels in Alaska has been infrequent, there is considerable effort taking place to link these data with workforce information. Through several Memoranda of Understanding (MOUs), DOLWD has been granted access to individual-level data held by EED and UA. These MOUs are each the product of separate negotiations between DOLWD and one or more other state agencies. Some have been in place for many years, while other MOUs are fresh and have little history. Originally, MOUs were developed to answer a discrete question or meet a specific reporting requirement. Recently developed MOUs have allowed for more open-ended arrangements without specific termination dates, although the parties retain the ability to unilaterally terminate the agreement at any time. Under these arrangements, DOLWD matches the other agencies' data with its own data (usually the UI database) to examine former students' experiences in the labor market.

Alaska's Permanent Fund Dividend (PFD) database provides the state with a unique ability to match records in data systems with incompatible identifiers. The Permanent Fund Dividend (PFD) Division is a component unit of the Alaska Department of Revenue, charged with administering annual payment of the state's PFD to its citizens. The Permanent Fund was created in state law in 1976 to conserve a portion of the state's revenue from petroleum and mineral resources to benefit all generations of Alaskans. The PFD database is a record, updated annually, of Alaskans applying for this resident benefit. The PFD database allows DOLWD to validate identifying information such as name and birth date with a social security number, since this is the only means by which the UI data can be accessed. Leveraging the rich data available within the PFD database enables a much higher matching rate and access to the wage records maintained by DOLWD. From the linked data, DOLWD produces aggregated results,

according to the procedures outlined in the specific MOU. DOLWD has had an MOU to share data with UA since May 17, 2007.

On July 1, 2009, DOLWD and EED executed an MOU to share individual-level data to expand EED's understanding of former students in its system, including how many students stay in the state to work or go to college. With access to the PFD database, it is technically possible for Alaska to bring together data from both educational sectors, EED and UA.

The new request for proposals for statewide longitudinal data systems under ARRA requires seven data system capabilities and twelve data system elements. The progress made during the funding stream from the first SLDS grant to EED established a strong foundation on which Alaska can build.

***Guiding Policy Questions***

To help guide decisions for reporting once data linkages are made, the following eight critical policy questions were developed by the Alaska entities participating in the summer 2009 Alaska data summit. Each question addresses several issues relating to educational policy and addresses one or more of the following areas of interest: 1) graduation and dropout issues, 2) postsecondary preparedness (student's need for remediation), 3) measurement of the efficacy of intervention programs, and 4) retention of completers in the state to contribute to the state's economy.

1. **How many and which students are progressing through an education program/system to achieve college, workforce, and life readiness?** Related data includes: performance on periodic assessments, high school completion rates, college-going rates, remediation rates, credential achievement rates, workforce participation rates, wage and hour information, social services participation rates, and incarceration rates.

This is a comprehensive query which, when the capabilities are in place, will allow for many sub-queries spawning from this initial data set. By incorporating the features needed to respond to this query, the capability will enable Alaska to examine student progress and outcomes over time, including students' preparation to meet the demands of postsecondary education and the 21st century workforce. Achieving this proposed analytical capability will require Alaska to facilitate and enable the exchange of data among agencies and institutions within the state as well as conduct analyses for policy purposes using these data. As a result, Alaska will be able to track student progression through the education pipeline, distinguishing between the program areas of success and those areas which need improvement. Student progression will also be traced through academic completion, via degree, certificate or diploma, and into the workforce, or other outcomes, such as enlistment in the military, participation in public assistance programs, or incarceration. Areas of interest addressed by this question include: 1) graduation and dropout issues, 2) postsecondary preparedness (student's need for remediation), and 3) measurement of the efficacy of intervention programs.

2. **What are the migration rates and patterns for Alaskans accessing postsecondary programs outside of Alaska and subsequently returning to Alaska?** Related data includes: credential achievement rates, workforce participation rates, wage and hour information, social services participation rates, and incarceration rates.

The approach to measuring the outcomes of this question will start with an initial cohort of high school graduates, and, using resources such as the National Student Clearinghouse, will track students who leave the state for postsecondary education and monitor them to determine if they return to the state and subsequently are employed in the state. Additional characteristics will be associated with the student, such as those receiving financial aid grants or participating in peer mentoring programs, to enable tracking of specific outcomes for these student subgroups. Area(s) of interest addressed by this question include the relationship of out-of-state college attendance relative to the ability to retain human resources capital to support the state's economy.

3. **Of those Alaskans who receive education services from Alaska secondary and postsecondary institutions, how many remain in the state and contribute to the economy?** Related data includes: secondary and postsecondary enrollment and completion data, workforce participation rates, wage and hour information, and rates of employment relative to field of study/training.

This analysis will be cohort-based, following the cohort through Alaska's education system and subsequently into the workforce. Other potential outcomes will also be measured, such as enlistment in the military, dependence on public assistance programs and incarceration rates, to determine degrees of contribution to -- or dependence on -- the state's economy. This analysis will also play a role in identifying what happens to Alaska's students who drop out of the P-12 system, by identifying whether they complete GEDs or complete their educations through alternative means. Areas of interest addressed by this question include: 1) postsecondary preparedness (student's need for remediation), 2) measurement of the efficacy of intervention programs, and 3) retention of completers in the state to contribute to the state's economy.

4. **Of those Alaskans who participated in and exited Alaska secondary or postsecondary institutions <u>without</u> credentials, how many are within three or fewer semesters to completion and what are their employment statuses and incomes?** Related data includes: secondary and postsecondary enrollment and exit data, workforce participation rates, wage and hour information, and rates of employment relative to field of study/training.

For those students withdrawing from secondary institutions before completion of a standard high school diploma, follow up is needed to either encourage re-enrollment into a secondary institution or to provide counseling to offer alternatives, such as adult high school or GED. For students exiting postsecondary institutions before the completion of a program, or not receiving a certificate or degree, outreach to encourage re-enrollment and completion of the program of enrollment is needed. Consideration of other alternatives should also be made available, such as financial aid or other state or federal financial support options. Linking employment and wage data to these "early exiters" will help demonstrate the ramification of exiting school before the successful completion of a diploma, certificate, or degree program. Trends associated with "early exiters" can also be identified and addressed. Areas of interest addressed by this question include: 1) graduation & dropout rates and patterns, 2) postsecondary preparedness (student's need for remediation), and 3) measurement of the efficacy of intervention programs.

5. **What is the impact of financial aid on college access and success?** Related data includes: credential achievement rates, time-to-degree information, workforce participation rates, wage and hour information, and rates of employment relative to field of study/training.

This effort will be a cohort-based study, monitoring and reviewing a population of high school graduates, and distinguishing those who receive financial aid from those who do not to measure what, if any, impact these factors may have on postsecondary persistence and completion. Identifying differences in population persistence and completion behaviors based on amount, type, and timing of financial aid will enable the state to design efficient interventions and assistance programs that maximize the ability to create desired outcomes. Areas of interest addressed by this question include: 1) graduation and dropout issues, 2) postsecondary preparedness (student's need for remediation), 3) measurement of the efficacy of intervention programs, and 4) retention of completers in the state to contribute to the state's economy.

6. **How effective are specific interventions and strategies to increase the rate at which students/citizens, particularly those from low income families, progress through an education program/system to achieve college, workforce, and life ready?** Related data, specific to intervention/strategy participants, includes: performance on periodic assessments, high school completion rates, high school course-taking patterns, college-going rates, remediation rates, credential achievement rates, workforce participation rates, wage and hour information, social services participation rates, and incarceration rates.

Expanding the amount of program data collected by the Alaska SLDS, especially exceptional student educational data and free/reduced priced lunch data, will facilitate the state's ability to evaluate its responsiveness not only to the student population as a whole related to varying interventions, but also to drill down into the detail relating to specific program areas. The resulting information will enable the state to identify the most effective use of limited special programs funding relative to the impact of those programs in effecting specific state goals for specific populations. For example, are interventions and programs utilized at the same rate, and do they result in the same outcomes, for low-income students, as compared to the universe of program participants? Areas of interest addressed by this question include: 1) Graduation and dropout issues, 2) postsecondary preparedness (student's need for remediation), 3) measure the efficacy of intervention programs, and 4) keeping completers in the state to contribute to the state's economy.

7. **How do Alaska's postsecondary institutions' educational program productivity and capacity align with Alaska's current and anticipated workforce needs?**

A primary focus of this question is to analyze the effectiveness of teacher preparation programs to educate and produce an adequately trained teacher workforce while meeting the educator needs in the state. Results from this evaluation will not be limited to teacher preparation programs, but will include other disciplines and their ability to produce a prepared workforce to be responsive to Alaska's anticipated workforce needs. This effort will not only require postsecondary completion data and workforce participation rates, but also P-12 educator data.

Areas of interest addressed by this question include: retention of completers in the state to contribute to the state's economy.

8. **What is the private/public return on private/public investment in education?** Related data includes: credential achievement rates, workforce participation rates, wage and hour information, social services participation rates, and incarceration rates.

One measure for this question will take the average funds allocated per student and calculating a Return on Investment (ROI) based on the number of students completing high school with a standard diploma. An additional measure would be the rate of residents hired by industry. The resulting analysis will require evaluating how many students successfully complete high school and are subsequently employed in the state, as compared to the amount of state funds supporting the education system by student. Another measure may be calculated by examining completion or other success rates for populations receiving a specified intervention or participating in a program of interest, and comparing that success rate to the general population, to determine if the intervention or program produces the intended results. Modifications or enhancements to the intervention strategies can then be implemented, further improving success rates. This analysis can also benefit from the unique aspect of Alaska's workforce data which includes not only industry data, but occupation information as well. An examination of the public cost of providing social services and corrections services can also provide an ROI measurement when related to the percentages and numbers of students who failed to successfully complete high school and are subsequently consumers of those services. Areas of interest addressed by this question include: 1) graduation and dropout issues, 2) postsecondary preparedness (student's need for remediation), 3) measurement of the efficacy of intervention programs, and 4) retention of completers in the state to contribute to the state's economy.

In summary, the primary areas required in order to answer the above critical policy questions for Alaska include the following:

1. Primary identifier
2. Required data system capabilities
3. Required data system elements

The capabilities and elements stated are critical to the improvement and success of education in Alaska. Currently, the system is ranked among the lowest performing in the nation; yet, the state lacks effective or efficient resources to programmatically link data from its various state agencies in order to monitor or intervene with the necessary measures on a student, teacher, or program level. By receiving funding from this grant, Alaska will accelerate and expand the development and implementation of its SLDS.

The following discussion addresses the three primary areas and describes Alaska's current abilities regarding requirements and the future needs associated with each.

***Primary Identifier***

Accurately and uniquely identifying each student in the database is the most essential characteristic of a longitudinal data system. Without a unique identifier, even with alternate algorithms that match individuals on identifying information such as name, birth date, gender, et cetera, the system will not completely capture the true picture of human capital development. This practice is especially true because the reasons these matches tend to fail more frequently in the absence of a unique identifier are not random (i.e., a database is far more likely to lose track of a student who moves frequently in and out of the district or the state than if he or she attends the same school year after year).

As presented in **Table 1**, numerous identifiers are in use in Alaska. A student's social security number (SSN) is no longer used by EED or individual school districts in Alaska. Teacher and staff SSNs are kept in the respective districts' Human Resources departments for Internal Revenue Service payment reporting. DOLWD has only an SSN as an identifier; it does not carry first name, last name, or birth date in its database. As a result, linking data from educational sector databases with workforce databases requires access to a third system with both the SSN and the combination of first name, last name, and birth date. In Alaska, the PFD database provides the necessary data bridge for all Alaskans who apply to receive monies from the PFD (estimated coverage of the population is about 97% or higher).

**Table 1. Potential Primary Identifiers by State Agency or Unit**

| Individual Identifiers | Individual School Districts | EED | UA | PFD | DOL WD | Health and Social Services | Corrections |
|---|---|---|---|---|---|---|---|
| **SSN** | No | No | Yes with restrictions | Yes | Yes | Yes | Yes |
| **Locally-created Identifier** | Locally created and ASIS # | ASIS #– Alaska Student Identifier | UAID – UA Student Identifier | No | No | Client ID # – aka Medicaid Number | Offender Number |
| **First Name** | Yes | Yes | Yes | Yes | No | Yes | Yes |
| **Last Name** | Yes | Yes | Yes | Yes | No | Yes | Yes |
| **Birth date** | Yes | Yes | Yes | Yes | No | Yes | Yes |

The locally-created identifiers used in these source systems will be matched against the PFD database to establish a comprehensive collection of specified identifiers that will associate the student record with a single unique SLDS identifier. Once the new SLDS ID created and linked to the student record, the personally identifiable data elements will be removed. The SLDS ID will then be used to track the student's progression through Alaska's education system and into the workforce.

***Required data system capabilities***

A statewide, longitudinal data system developed with funding obtained pursuant to this grant competition must have the following seven capabilities:

1. *The system must enable States to examine student progress and outcomes over time, including students' preparation to meet the demands of postsecondary education, the 21st century workforce, and the Armed Forces. Such a system must include data at the individual student level from preschool through postsecondary education and into the workforce (e.g., employment, wage, and earnings information).*

Current Status: There are currently no ongoing linkages among P-12, postsecondary, and workforce in order to examine student progression and employment and other educational outcomes.

Need to be Addressed by Grant: The grant will allow Alaska to establish a process of linking student level records between education and other state agencies to follow individual student progression from a P-20 perspective and into employment, along with other outcomes. As a result, the grant funded system will provide data to support program and policy decisions.

2. *The system must facilitate and enable the exchange of data among agencies and institutions within the State and between States so that data may be used to inform policy and practice. Such a system would support interoperability by using standard data structures, data formats, and data definitions to ensure linkage and connectivity among the various levels and types of data.*

Current: The current environment allows for data exchange between districts and EED facilitated via School Interoperability Framework (SIF).There is no postsecondary linkage, nor are data linked with other agencies.

Needs to be Addressed by Grant: The grant-funded system will facilitate expanded interoperability between EED and other entities in order to examine relationships between P-12, postsecondary, workforce, and other program provider data. In order to determine appropriate policy and practice within the educational system of Alaska, a venue is needed within which to link systems by using standard data structures, formats, protocols and definitions.

3. *The system must link student data with teachers, i.e., it must enable the matching of teachers and students so that a given student may be matched with the particular teachers primarily responsible for providing instruction in various subjects.*

Current Status: Currently, EED does not have a formalized mechanism that accurately links all individual students and their teachers.

Needs to be Addressed by Grant: Student/teacher links will be established for transparency and accountability related to creating empirical measures of effective instruction and student performance in the P-20 system.

4. *The system must enable the matching of teachers with information about their certification and teacher preparation programs, including the institutions at which teachers received their training.*

Current Status: Currently, there are no linkages between teacher data and the preparation programs in which the teachers participated.

Needs to be Addressed by Grant: This grant funded system will allow Alaska to establish the ability to link teacher data with data from postsecondary institutions reporting participation in teacher preparation programs. Teacher training information already held by EED must be migrated into Alaska's SLDS so teaching outcomes can be accurately associated with teacher training programs.

5. *The system must enable data to be easily generated for continuous improvement and decision-making, including timely reporting to parents, teachers, and school leaders on the achievement of their students and schools of education on the success of their graduates.*

Current Status: Currently, there is limited capability to provide reports to teachers and educational leaders related to P-12 student achievement. Parents need to have access to information to find reporting indicators such as test results, dropout rates, highly qualified status for teachers, Adequate Yearly Progress (AYP) status, and school calendar information along with other elements.

Needs to be Addressed by Grant: There is not a formalized process in place to gather information requirements and address and respond to information needs of the various education stakeholders in Alaska. There is a need for a system to be responsive to teachers, administrators, local and state policy makers to provide data specific to their various interests in an efficient and timely fashion. The information needs would include student performance in P-12 and also remediation and outcomes related to postsecondary and employment. By addressing the education stakeholders' need for information, Alaska will be able to identify programs and interventions leading to success in postsecondary and the workplace.

6. *The system must ensure the quality and integrity of data contained in the system.*

Current Status: Currently, EED generates reports showing warnings and fatal errors as business rules and edit checks are applied. The warnings list records and issues that need to be reviewed but not necessarily edited. Fatal errors are events that are required to be addressed prior successful submission.

Needs to be Addressed by Grant: As the grant allows for a variety of new source data systems, the reliability of data linkages along with conforming data definitions need to be audited and documented. This data audit process will ensure the ease of use and the validity of the new data compilation. The new linkages will be foundational to expanding SLDS capabilities, so appropriate controls and system audits at this stage are essential to project success.

7. *The system must provide the State with the ability to meet reporting requirements of the Department, especially reporting progress on the metrics established for the State Fiscal Stabilization Fund and the reporting requirements included in the EDFacts data collection and reporting system.*

Current Status: A primary goal of the original Unity Project was to fulfill the reporting requirements for the EDEN/EDFacts reporting system. Currently EED is capable of meeting all of the EDFacts reporting requirements for AYP, Assessment results data for Reading & Writing (Language Arts), Math and Science, the Consolidated State Performance Report (CSPR) for Title I, Graduation Rates, Attendance Rates, Directory information, Grades served and all data previously included in the Common Core Data (CCD) collection system.

Needs to be Addressed by Grant: The system created through the Unity Project currently meets all requirements of this capability. However, the proposed linkages with other measures will enable identification of correlations and patterns that will help identify best practices to achieve desired short-term and long-term results, integrating the system begun under the Unity Project into a full-fledged P-Career SLDS.

***Required data system elements***

A data system developed with funding obtained pursuant to this grant competition must include at least these 12 elements prescribed by the America COMPETES Act:

With respect to preschool through grade 12 education and postsecondary education:

1. *A unique statewide student identifier that does not permit a student to be individually identified by users of the system (except as allowed by Federal and State law)*

Current Status: Alaska has different identifiers in use at EED and at UA and as a result the state does not have a common, unique P-20 statewide student identifier.

Needs to be Addressed by Grant: This grant will allow Alaska to institute a validation process using identifying elements from each contributing source system, and matching them to data in the PFD database to establish linkages. The means by which Alaska will match data across sectors is validating EED and UA unit record data using the state's PFD database. The PFD data is comprehensive relative to state residents and contains key identifying information including social security number, name, and birth date. Once these linkages are established, the crosswalk data will be stored and utilized when building datasets from the various sources. The proposed linkage system will include development and testing of internal controls at each stage to ensure that personally identifiable information is not released in the process of making these linkages.

2. *Student-level enrollment, demographic, and program participation information*

Current Status: Demographic and enrollment data are included in the existing SLDS, as well as limited data sets for select federal programs; however, the system does not include full program participation information, especially for state and post-graduation or drop-out intervention programs . Student-level enrollment and participation data are included in the UA data system. EED program information is currently captured in separated, standalone databases and requires cumbersome and inconsistent linking and reporting mechanisms.

Needs to be Addressed by Grant: The grant funded system will incorporate state and federal programs such as English Language Learners, Special Education, Perkins, Low Income Program Eligibility, and child nutrition data that will enable more complete, timely, and accurate reporting on a consistent basis. The grant will additionally provide for the progress of

beneficiaries of these programs to be tracked beyond secondary school, through their postsecondary and workforce careers, providing data that may be used to improve instruction and inform policy to improve outcomes.

3. *Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P-16 education programs*

Current Status: Basic P-12 information is available; student exit data are currently collected, but linkages to access postsecondary data are limited.

Needs to be Addressed by Grant: The grant funded system will establish a methodology to link P-12 to postsecondary education enabling Alaska to comprehensively track postsecondary progression and completion of students exiting the P-12 system. The system will additionally answer the challenging question of what happens to these students who exit the system, especially those who exit prematurely. By linking with GED information, military and workforce preparation programs such as apprenticeships, the proposed SLDS will for the first time enable differentiation between drop-outs who later take alternative paths to success, and those who experience life-long impact.

4. *The capacity to communicate with higher education data systems*

Current Status: Alaska currently does not have the ability for the state's public P-12 and postsecondary sectors to communicate directly with one another. Efforts have been made recently to link data across these sectors beyond preexisting federal reporting requirements such as Perkins, yet little progress has been made in this area due to the lack of existing resources.

Needs to be Addressed by Grant: The grant funded system will allow Alaska to create methodologies for establishing a "crosswalk" with the state's PFD database using successful matching methodologies currently in use in Alaska by several of the state's agencies to validate data linkages between P-12, postsecondary and other outcomes data.

5. *A State data audit system assessing data quality, validity, and reliability*

Current Status: Currently, EED generates reports showing warnings and fatal errors as business rules and edit checks are applied. The warnings list records and issues that need to be reviewed but not necessarily edited. Fatal errors are events that are required to be addressed prior successful submission.

Needs to be Addressed by Grant: Since the grant will create a variety of new source data systems, the reliability of data linkages along with conformed definitions of the data will need to be audited and documented. The grant will enable the data audit process to be built which will ensure the ease of use and the validity of the new data compilation.

With respect to preschool through grade 12 education:

6. *Yearly test records of individual students with respect to assessments under section 1111(b) of the Elementary and Secondary Education Act of 1965*

Current Status: This element is fully implemented.

Needs to be Addressed by Grant: The Unity Project database currently meets the requirements of this element.

*7. Information on students not tested, by grade and subject*

Current Status: These data elements were included in the Unity Project as required by No Child Left Behind (NCLB).

Needs to be Addressed by Grant: The Unity Project database currently meets all requirements of this element. However, the proposed SLDS will enhance the current information by adding the ability to capture and report reasons why students did not test.

*8. A teacher identifier system with the ability to match teachers to students*

Current Status: This element is Phase VII - Teacher & Staffing data within the Unity Project. Alaska is currently piloting the data collection for the Certified Staff Accounting and the Classified/Paraprofessional Staff Accounting data collections. This information is being utilized by the EED assessment office this year.

Needs to be Addressed by Grant: With the implementation of Phase VII of the Unity Project as well as the funds from this grant, the stage is set for further development in establishing the linkages between teachers and their students. To accomplish this, as part of the development of the new student transcript system (see element 9), the teacher identifier will be captured, enabling the linkage of teachers to their students.

*9. Student-level transcript information, including information on courses completed and grades earned*

Current Status: Currently, Alaska does not have this element available.

Needs to be Addressed by Grant: Without the ability to possess and access student level transcript information, Alaska is unable to effectively measure program or course effectiveness and student progression. This grant will allow Alaska to resolve this issue by identifying courses completed and grades achieved, in order to identify population differences based on these characteristics. The grant will also provide a methodology to link teachers to their students, in order to identify those teachers and teacher preparation programs that are most effective, as demonstrated by student behavior relative to persistence and timely completion. Related to, but independent of this requirement, Alaska's Governor has proposed legislation to implement a financial aid program that may promote the creation of common course standards and nomenclature.

*10. Student-level college readiness test scores*

Current Status: These data elements, which include ACT and SAT scores, are currently housed in the UA database for individuals who sought admission to the university. Individuals enrolling at UA who did not take the ACT or SAT are required to take the Accuplacer to identify readiness for collegiate level instruction, and those scores are also housed at UA. Currently, there is no linkage between P-12 and postsecondary systems.

Needs to be Addressed by Grant: This grant funded system will allow Alaska to establish a formalized process linking P-12 data with postsecondary student records that will include

assessment data, enabling Alaska to evaluate college-level readiness of students progressing into postsecondary within the State and to give feedback to improve instruction at the secondary schools.

With respect to postsecondary education:

*11. Data that provide information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework*

Current Status: Currently, UA collects these data elements for students enrolled in the university, but no systematic linkages with secondary institutions are in place.

Needs to be Addressed by Grant: This grant funded system will allow Alaska to establish a formalized process linking P-12 data with postsecondary student course records that will include remediation, enabling Alaska to evaluate college-level readiness of students progressing into postsecondary within the State. This process will further allow for assessing secondary schools, teachers, and programs in preparing students for progression into postsecondary, with the ultimate goal of improving student preparation for success statewide.

*12. Data that provide other information determined necessary to address alignment and adequate preparation for success in postsecondary education*

Current Status Currently, Alaska does not have a systemic approach to link P-12 student data with postsecondary database systems.

Needs to be Addressed by Grant: This grant funded system will allow Alaska to establish a formalized process to link P-12 data with postsecondary student and teacher records that will include leveraging new data relative to various student populations, enabling Alaska to evaluate student progression from P-12 through postsecondary to become a successful contributor to Alaska's economy. Measuring the specific impacts of programs and interventions will enable Alaska to target funds at programs demonstrated to be effective with the population being served, rather than the expensive scattershot approach that is the only option without longitudinal data to inform policy and funding decisions.

It cannot be stressed enough that the capabilities and elements stated are critical to the improvement and success of education in Alaska. Currently, the Alaska education pipeline is ranked among the lowest performing in the nation; yet, the state lacks effective or efficient resources to programmatically link data from its various state agencies in order to monitor or intervene with the necessary measures on a student, teacher, or program level. By receiving funding from this grant, Alaska will accelerate and expand the development and implementation of its SLDS.

Failure to receive funding to address these issues as documented will negate progress made to date, and Alaska will not be able to fully realize the substantial investment made thus far on the previously funded Unity Project; which will delay or negate the development of the above capabilities and elements in Alaska's P-20 statewide longitudinal data system.

## (B) PROJECT OUTCOMES RELATED TO SYSTEMS REQUIREMENTS AND IMPLEMENTATION

Alaska pans to accomplish the following five projects with funding via this grant. The tables below list each project and how the elements and capabilities required for a successful SLDS will be addressed. There is additionally a sixth outcome, budgeted separately, essential to the creation of the Alaska's ANSWERS SLDS, and that is a project management office (PMO). The PMO is discussed in more detail in the budget documents, as well as later in this narrative.

### OUTCOME I: P-12, Postsecondary, and Workforce Data Matching

Outcome I will create a new process to match existing P-12 data with preschool, postsecondary education and workforce data to measure progress through the education pipeline and into the workforce. This project includes development of a unique, anonymous SLDS ID to allow linkages at the student level but prevent identification of individual students. Data will be validated using the state's PFD database as a bridge between the existing P-12 unique ID (ASIS) and UA and DOLWD's unique ID (SSN).

| **P-12, Postsecondary, and Labor Data Matching** | |
|---|---|
| The following critical policy questions are addressed by this project:<br>- **How many and which students are progressing through an education program/system to achieve college, workforce, and life readiness?**<br>- **What are the migration rates and patterns for Alaskans accessing postsecondary programs outside of Alaska and subsequently returning to Alaska?**<br>- **Of those Alaskans who receive education services from Alaska secondary and postsecondary institutions, how many remain in the state and contribute to the economy?**<br>- **Of those Alaskans who participated in and exited Alaska secondary or postsecondary institutions <u>without</u> credentials, how many are within three or fewer semesters to completion and what are their employment status and income?**<br>- **What is the impact of financial aid on college access and success?**<br>- **How effective are specific interventions and strategies to increase the rate at which students/citizens, particularly those** | Outcomes and associated elements and capabilities:<br>Provide outcome data at student level, with ability to create custom outcome queries based on interventions offered and program participation (**Element 2**)<br>Identify students when they leave the pipeline and subsequently pursue alternative return paths such as GED, apprenticeship, as well as out-of-state migration patterns. (**Element 3**)<br>Capture all P-12 SLDS data, including assessments. (**Element 6**)<br>Capture all P-12 SLDS data, including information on students not tested. (**Element 7**)<br>Include UA ACT and SAT scores, WorkKeys scores after 2011, and Accuplacer scores. (**Element 4, 10**)<br>Identify those individuals that transition, as well as individual Accuplacer results and remediation needed at postsecondary level. (**Element 11**)<br>Add Perkins, tech-prep, dual enrollment and other program data. Include links with social service and corrections data to quantify impacts of failure of the pipeline to produce citizens prepared for economic success. (**Element 12**)<br>Provide longitudinal data at the individual student level linking education with career while protecting personally identifiable information |

| | |
|---|---|
| **from low income families, progress through an education program/system to achieve college, workforce, and life readiness?**<br>- **How do Alaska's postsecondary institutions' educational program productivity and capacity align with Alaska's current and anticipated workforce needs?**<br>- **What is the private/public return on private/public investment in education?** | (PII). (**Capability 1**)<br>Allow data providers to retain existing structures and mitigate risk of failures due to changes in provider data architecture while minimizing costs of data maintenance. (**Capability 2**)<br>Match teacher and teacher training programs to students enabling the analysis of outcomes according to student's exposure to specific teachers and teacher's specific institution of teacher training. (**Capabilities 3, 4)**<br>Create sustainable and flexible structure poised for expansion and specifically designed for ease of reporting and compliance with requirements. (**Capability 7)** |

**OUTCOME II: Expansion of P-12 Outcomes Data Collected**

This project expands program participation data and interventions data to enable measurement of population differences according to program participation or intervention received, in order to measure ROI on interventions and improve program and instruction design. Proposed data elements include English language learners (ELL), special education, Perkins, low income, dual enrollment, child nutrition, participation in TRIO and related programs, use of Alaska's Career Information System (AKCIS) tools, etc. It also includes adding data on GED completions (at the student level) and linking to the National Student Clearinghouse, DOLWD apprenticeship databases, and similar programs that may be used to identify individual students who achieved success via alternate routes. P-12 outcomes are also defined as ability to progress to postsecondary without remediation, so this project will incorporate ACT/SAT and WorkKeys scores, as well as identify students who require remediation. Finally, this project will include links to student level data from social service providers and corrections databases, to identify any relationships (and associated costs) between education outcomes and involvement in those service areas.

Enhancement of existing system: P-12 program participation data will be maintained at EED as enhancement to the P-12 SLDS created under the Unity project. The custodians of other data will provide periodic data snapshots from their existing systems.

| **Expansion of P-12 Outcomes Data Collected** | |
|---|---|
| The following critical policy questions are addressed by this project:<br>- **How many and which students are progressing through an education program/system to achieve college, workforce, and life readiness?**<br>- **How effective are specific** | Outcomes and associated elements and capabilities:<br>Provide outcome data at student level, with ability to create custom outcome queries based on interventions offered and program participation (**Element 2**).<br>Identify students when they leave the pipeline and alternative return paths such as GED, apprenticeship, as well as out-of-state migration patterns (**Element 3**).<br>Capture all P-12 SLDS data, including assessments (**Element 6**). |

| | |
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| **interventions and strategies to increase the rate at which students/citizens, particularly those from low income families, progress through an education program/system to achieve college, workforce, and life ready?**<br>- **What is the private/public return on private/public investment in education?** | Capture all P-12 SLDS data, including information on students not tested (**Element 7**).<br>Include UA ACT and SAT scores, WorkKeys scores after 2011, and Accuplacer scores (Element 10).<br>Identify those individuals that transition, as well as individual Accuplacer results and remediation needed at postsecondary level (**Element 11**).<br>Add Perkins, tech-prep, dual enrollment and other data. Includes links with social service and corrections data to quantify costs of failure of the pipeline to produce citizens prepared for economic success (**Element 12**).<br>Provide longitudinal data at the individual student level linking education with career while protecting PII (**Capability 1**).<br>Allow data providers to retain existing structures and mitigate risk of failures due to changes in provider data architecture while minimizing costs of data maintenance (**Capability 2**).<br>Match teacher and teacher training programs to students, enabling the analysis of outcomes according to student's exposure to specific teachers and teacher's specific institution of teacher training (**Capability 3).**<br>Create sustainable and flexible structure poised for expansion and specifically designed for ease of reporting and compliance with requirements (**Capability 7**). |

**OUTCOME III: SLDS Data Audit System**

This project includes determining and documenting the internal controls relative to data received from agency providers, and developing data audits/internal controls to ensure that matches and linkages are valid and reliable. This project will also develop and deploy controls relative to PII to ensure maximum protection of such information. Finally the SLDS data audit system will ensure that reports accurately answer questions posed, and that ad hoc research queries generate valid and reliable data. The new data audit system crosses all functionalities and products for SLDS reporting.

| **SLDS Data Audit System** | |
|---|---|
| The following critical policy questions are addressed by this project: | Outcomes and associated elements and capabilities: |
| - **How many and which students are progressing through an education program/system to achieve college, workforce, and life readiness?** | As linkages are made, personally identifiable data will be removed and an anonymous SLDS ID will be assigned to the student record and stored with the SLDS ID as the key field **(Element 1)**. |
| - **Of those Alaskans who receive education services from Alaska** | As linkages are made between data from the various source systems, validation reports will be |

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| **secondary and postsecondary institutions, how many remain in the state and contribute to the economy?**<br>- **Of those Alaskans who participated in and exited Alaska secondary or postsecondary institutions <u>without</u> credentials, how many are within three or fewer semesters to completion and what are their employment status and income?**<br>- **What is the impact of financial aid on college access and success?**<br>- **How effective are specific interventions and strategies to increase the rate at which students/citizens, particularly those from low income families, progress through an education program/system to achieve college, workforce, and life readiness?**<br>- **How do Alaska's postsecondary institutions' educational program productivity and capacity align with Alaska's current and anticipated workforce needs?**<br>- **What is the private/public return on investment in education?** | generated and reviewed to evaluate that the linkages are accurate (**Element 5**).<br>As the linkages are made, validated and deidentified, supplemental data will be loaded. As the supplemental data are loaded, an audit trail is generated to validate record counts against the source data system to ensure the correct number of reports is being loaded (**Capability 6, 7**). |

**<u>OUTCOME IV: Data Mart/Data Reporting and Analysis System</u>**

Outcome IV is provisioning the data mart and reporting/analysis tool, where successive de-identified snapshot data will be maintained and accessible for manipulation by researchers. It will include a Web interface to standardized reports for public access, and a cube-based ad hoc query tool for authorized users. A metadata application will also be deployed, documenting data element definitions as they are loaded into the data mart/reporting server, schedules for the loads, report definitions, and other information critical to the process. This metadata application will also have an intuitive user interface to assist the end user as they navigate and interpret the reports generated out of this system. To address how input from stakeholders (e.g. teachers & other educators) will be obtained/utilized, a plan to develop regional fact-finding visits/town hall type meetings will be instituted using multi-lingual and multi-cultural formats. These stakeholder input collection initiatives will leverage Alaska's strong history of collaboration through existing relationships with Native organizations & community organizations.

| **Data Mart/Data Reporting and Analysis System** | |
|---|---|
| The following critical policy questions are addressed by this project:<br>- **How many and which students are progressing through an education program/system to achieve college, workforce, and life readiness?**<br>- **What are the migration rates and patterns for Alaskans accessing postsecondary programs outside of Alaska and subsequently returning to Alaska?**<br>- **Of those Alaskans who receive education services from Alaska secondary and postsecondary institutions, how many remain in the state and contribute to the economy?**<br>- **Of those Alaskans who participated in and exited Alaska secondary or postsecondary institutions <u>without</u> credentials, how many are within three or fewer semesters to completion and what are their employment status and income?**<br>- **What is the impact of financial aid on college access and success?**<br>- **How effective are specific interventions and strategies to increase the rate at which students/citizens, particularly those from low income families, progress through an education program/system to achieve college, workforce, and life readiness?**<br>- **How do Alaska's postsecondary institutions' educational program productivity and capacity align with Alaska's current and anticipated workforce needs?**<br>- **What is the private/public return on private/public investment in education?** | Outcomes and associated elements and capabilities:<br>Ensure multiple levels of PII protection by removing PII and maintaining it in a separate location, and creating unique SLDS ID to match data and enable effective data audit (**Element 1**).<br><br>By creating this infrastructure of data extracting, linkages, de-identifying, loading, reporting, analyzing and documenting, the framework is in place for future data sources to be incorporated. This infrastructure is scalable and adaptable for the eventual expansion into other education and extra-educational areas (**Element 4**).<br><br>Create sustainable and flexible structure poised for expansion and specifically designed for ease of reporting and compliance with requirements, including Web-based access to selected reports and access to ad hoc analysis tool for authorized users (**Capability 5**).<br><br>Design process includes focus on building effective, efficient internal controls throughout every phase of the project (**Capability 6**).<br><br>Although Alaska currently possesses the ability to respond and produce federally required reports (i.e. EDFacts), by leveraging this new reporting environment, with the new data marts and reporting tools, the ability to produce these reports will be more efficient and timely and require less manual intervention than the process currently in place. (**Capability 7**). |

**OUTCOME V: Student Transcript/Teacher Information Inclusion**

This project's goal is the student level transcript data collection, to include courses taken and grades earned. It will also include the unique teacher identifier enabling the link of teachers to students for each course taken.

| **Student Transcript/Teacher Information Inclusion** | |
|---|---|
| The following critical policy questions are addressed by this project:<br>- **How many and which students are progressing through an education program/system to achieve college, workforce, and life readiness?**<br>- **Of those Alaskans who receive education services from Alaska secondary and postsecondary institutions, how many remain in the state and contribute to the economy?**<br>- **Of those Alaskans who participated in and exited Alaska secondary or postsecondary institutions <u>without</u> credentials, how many are within three or fewer semesters to completion and what are their employment status and income?**<br>- **What is the impact of financial aid on college access and success?**<br>- **How effective are specific interventions and strategies to increase the rate at which students/citizens, particularly those from low income families, progress through an education program/system to achieve college, workforce, and life readiness?**<br>- **What is the private/public return on private/public investment in education?** | Outcomes and associated elements and capabilities:<br>As the student transcript system is deployed, each transcript record collected will also have the teacher identifier on the record enabling the linkage of student/teacher data (**Element 8**).<br>The student transcript system will collect courses completed and grades earned (**Element 9**).<br>With the new transcript system, by collecting course completions and grades, Alaska will be able to examine student progress and preparedness for postsecondary and employment (**Capability 1**).<br>As the student transcript system is deployed, each transcript record collected will also have the teacher identifier on the record enabling the linkage of student/teacher data (**Capability 3**). |

<u>Architecture</u>

Alaska has a wealth of education and other data repositories housed and administered by several state agencies, including P-12, postsecondary, financial aid and employment. Alaska proposes to create a process of interoperable linkages between the data residing within EED and other state agency data systems, including the postsecondary data at UA, financial aid data at the Alaska Commission on Postsecondary Education, employment data from the Alaska

Department of DOLWD and Workforce Development, Health and Social Services, Department of Corrections, and the Alaska PFD Division within the Alaska Department of Revenue. To accommodate tracking of students who leave the state, linkages with national databases, such as the National Student Clearinghouse, will also be utilized. Taking the approach of establishing a "crosswalk" between each of the contributing systems minimizes cost-related issues of sustainability. Once the methodologies for linking the data are in place and the initial crosswalk table is defined, minimal human or financial requirements will be necessary on an ongoing basis. This approach has the advantage of creating a lasting means by which data matching can occur, is a relatively inexpensive solution and is least intrusive on existing data systems. It should be noted, however, that identifying and documenting the appropriateness of linkages and the definition of terms is a significant project that will undergird the architecture and development of the Alaska's ANSWERS SLDS. Accordingly, Alaska will devote significant project resources, human and otherwise, to ensuring this key infrastructure piece is developed with the fullest input of stakeholders, as well as tested and documented against rigorous and appropriate standards.

Alaska will develop the "crosswalk" database housing information to allow linkages to occur between different agencies' databases. The first approach to this "crosswalk" linkage already exists in Alaska through the PFD. Alaska has the capability, since PFD supplies the linking information necessary to examine labor market outcomes of P-12 and postsecondary educational processes. The process would initiate via a programmatic call to a contributing source system, extracting the defined data, and transferring the data to a central staging area where the linkage would take place. The process for this linkage will vary depending on the source system, and dependant on the available data elements that can be used to establish the link. For sources which do not have a social security number (SSN) resident, the PFD database will be leveraged to facilitate uniquely identifying the individual and assigning the SSN. Once the linkage is established, a new unique identifier will be assigned to the record. In combination with the application of other appropriate de-identifying protocols, this new identifier will be used to anonymously track the individual through the state's education system, along with making associations with other data sources, utilizing a similar linkage process by means of a central staging area. Once the linkage is made, and the identifiable data are replaced with an anonymous identifier, the data are transferred to a reporting server business intelligence environment. The personally identifying data elements are separately maintained to ensure no compromise of privacy. The purpose of this reporting environment is that a robust collection of reporting tools will be resident for developers to leverage to generate reports for key stakeholders throughout the state while protecting individual student privacy. For instance, the grant funded system would directly link an individual's social security number (which is used by DOLWD) with the Alaska Student Information System (ASIS) number (which is used by EED), the UA identifier, and linking other agencies' identifying information.

A metadata application will be connected to each aspect of this process, documenting data element definitions as they are extracted and loaded into the reporting server, schedules for the extracts, report definitions, and other critical information. This metadata application will also have an intuitive user interface to assist the end user as they navigate and interpret the reports generated out of this system. This linkage and reporting process will be governed by an

oversight committee who will be responsible for the decisions related to the various data sources, what data will be extracted and how the data will be used and reported. This process will also facilitate the building of longitudinal datasets or data marts that can be used for more in-depth data analysis and research. The governance group will also establish a policy that will provide direction for those non-education individuals wishing to access these datasets to do their own research. This policy would be specifically designed to ensure full compliance with FERPA & the Alaska Personal Information Protection Act (APIPA), at the same time as providing maximum access to and benefit of access to de-identified and non-protected data. To ensure development of a policy structure that meets all these PII requirements, Alaska contracted with a nationally recognized FERPA expert, whose recommendations are included in the appendix to the WICHE/NCHEMS report in Appendix D of this grant application.

Alaska proposes that the data linkage process be a full collaboration among agency partners, managed jointly by ACPE and DOLWD, on behalf of EED and in full compliance with FERPA. Given the highly confidential nature of education and wage record information and the limitations associated with sharing this data with other agencies, the proposed crosswalk database or clearinghouse linkages managed by ACPE and DOLWD will maximize the reporting capability and minimize the data sharing concerns. The system will build upon the existing interagency data sharing agreements and reporting systems currently in place. Data matches will occur only between allowable state and national datasets as allowed under SLDS project governance protocols and documented in MOUs and related governance structures.

All education and training participant records will be destroyed when no longer needed for research and all data reports will contain only summary, aggregated information with a cell size no less than a specified number of students in order to ensure that no personally identified information of an individual training participant or student can be determined. DOLWD will match these historical student records with administrative databases and generate summary aggregated counts of performance indicators as requested and developed by the interagency work group.

Personally identified information will not be shared with other agencies or states. Summary work products and research resulting from these data will not be published or provided to other agencies or individuals without the consent of the reporting agency.

Establishing this infrastructure of data extracting, linkages, de-identifying, loading, reporting, analyzing and documenting puts into place the framework for future data sources to be incorporated. This framework is an infrastructure which is scalable and adaptable for the eventual expansion into other education and extra-educational areas assisting Alaska to better monitor student performance and progression and intervene where needed in a more timely and effective manner.

## (C) TIMELINE FOR PROJECT OUTCOMES

The Alaska's ANSWERS project is designed to culminate in deployment of the proposed SLDS at the end of the three-year grant period. The SLDS will, at a minimum, link student-level data from Pre-K through workforce, as previously described in each of the five projects composing Alaska's ANSWERS. The proposed timeline will provide extensive time early in the project for current situation analysis, gap analysis, and designing the proposed system architecture, recognizing that the investment in analysis and conceptual design will result in minimizing development costs. In addition, extensive testing and documentation prior to implementation will result in a system that will better meet the state's needs.

State Fiscal Stabilization Funds (SFSF) is being passed through as direct grants to school districts. The proposed project avoids duplication through collaborative structure and data governance, and through leveraging what was accomplished through the Unity Project, rather than recreating it. The proposed project further avoids duplication by ensuring the creation of a detailed gap analysis as the first step in maximizing efficiency of the planning and design project phases.

The specific timeline for each of the five projects and the project management office (PMO) is as follows (additional information and a project flowchart are contained in the budget narrative):

| P-12, Postsecondary, & Workforce Data Linkages | Responsible Party | Start/Finish |
|---|---|---|
| Stakeholder input solicitation, analysis and documentation (product = business and functional requirements document) | PMO, with assistance from analysis contractor | Jul 2010 – Dec 2010 |
| Development of methodology to create linkages (product = conceptual application document) | Business analysis contractor | Oct 2010 – Apr 2011 |
| Development of unique SLDS ID (product = conceptual application document) | Business analysis contractor | Nov 2010 – Apr 2011 |
| Development of methodology to remove PII from SLDS data and maintain segregated PII file (product = conceptual application document) | Business analysis contractor | Dec 2010 – Apr 2011 |
| Application build (product = application available on test server) | Development contractor | Jan 2011 – Jul 2011 |
| Application testing (product = documentation of test outcomes and associated system architecture updates) | PMO and internal programming staff | May 2011 – Nov 2011 |
| Application deployment | PMO and internal programming staff | Aug 2011 – Dec 2011 |

| Expansion of P-12 Outcomes Data Collected | Responsible Party | Start/Finish |
|---|---|---|
| Stakeholder input solicitation, analysis and documentation (product = business and functional requirements document) | PMO, with assistance from analysis contractor | Jul 2010 – Jun 2011 |
| Development of methodology to capture outcomes data (EED, DOLWD, UA, Corrections, H&SS, federal and national databases) | Business analysis contractor | June 2011 – Dec 2011 |
| Application build (product = application available on test server) | Development contractor | Jan 2012 – Apr 2012 |
| Application testing (product = documentation of test outcomes and associated system architecture updates) | PMO and internal programming staff | Mar 2012 – Jul 2012 |
| Application deployment | PMO and internal programming staff | Jun 2012 – Sep 2012 |

| SLDS Data Audit System | Responsible Party | Start/Finish |
|---|---|---|
| Expert input solicitation, analysis and documentation (product = functional requirements document) | PMO, with RFP assistance from analysis contractor | Jan 2012 – May 2012 |
| Application build (product = application available on test server) | Development contractor | May 2012 – Aug 2012 |
| Application testing (product = documentation of test outcomes and associated system architecture updates) | PMO and internal programming staff | Sep 2012 – Dec 2012 |
| Application deployment | PMO and internal programming staff | Oct 2013 – Jan 2013 |

| Data Mart/Date Reporting & Analysis System | Responsible Party | Start/Finish |
|---|---|---|
| Stakeholder input solicitation, analysis and documentation (product = business and functional requirements document) | PMO, with assistance from analysis contractor | Jul 2010 – Dec 2011 |
| Selection of business intelligence tool (product = contract for data mart system) | PMO, with RFP assistance from business analysis contractor | Oct 2011 – Mar 2012 |
| Application build (product = application available on test server) | Development contractor | Mar 2012 – Aug 2012 |
| Application testing (product = documentation of test outcomes and associated system architecture updates) | PMO and internal programming staff | Jul 2012 – Dec 2012 |
| Application deployment | PMO and internal programming staff | Oct 2012 – Mar 2013 |
| Statewide training | PMO with assistance from development contractor | Apr 2013 – Jun 2013 |
| Statewide deployment | Development contractor | May 2013 – Jun 2013 |

| Student Transcript/Teacher Information | Responsible Party | Start/Finish |
|---|---|---|
| Stakeholder input solicitation, analysis and documentation (product = business and functional requirements document) | Business analysis contractor | Jul 2011 – Jun 2012 |
| Selection of transcript linking tools (product = contract for transcript system) | PMO, with RFP assistance from business analysis contractor | Mar 2012 – Sep 2012 |
| Application build (product = application available on test server) | Development contractor | Oct 2012 – Jan 2013 |
| Application testing (product = documentation of test outcomes and associated system architecture updates) | PMO and internal programming staff | Feb 2013 – May 2013 |
| Application deployment | PMO and internal programming staff | Apr 2013 – Jun 2013 |

| Project Management Office | Responsible Party | Start/Finish |
|---|---|---|
| Ensure and document appropriate stakeholder input solicitation at all project phases | Project Manager and support staff | Jul 2010 – May 2013<br><br>Note: This is an umbrella function that will span the life of the project. |
| Ensure compliance statewide with all grant requirements and timely, appropriately documented progress towards project completion | | |
| Coordinate and document all vendor activities | | |
| Coordinate grant budget and performance reporting | | |
| Coordinate and document governance bodies' activities | | |
| Provide overarching project management and ensure day-to-day compliance with approved project management standards | | |

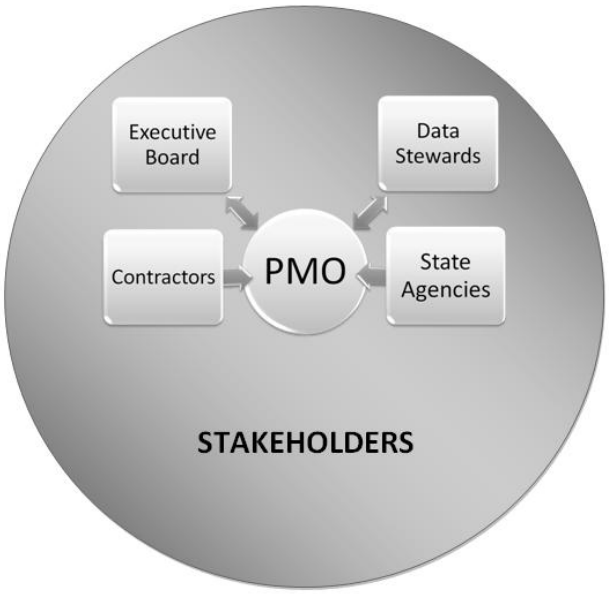
| Alaska ANSWERS | 2010 | | | | | | 2011 | | | | | | | | | | | | 2012 | | | | | | | | | | | | 2013 | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| **Project** | July | August | September | October | November | December | January | February | March | April | May | June | July | August | September | October | November | December | January | February | March | April | May | June | July | August | September | October | November | December | January | February | March | April | May | June |
| Linkages/PII Protection | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | | | | | | | |
| Expand Outcomes Data | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | | | | | | | | | | |
| Data Audit | | | | | | | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | | | | |
| Data Mart | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |
| Transcripts | | | | | | | | | | | | | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | |
| PMO | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X | X |

## (D) PROJECT MANAGEMENT AND GOVERNANCE PLAN

If a linked system of databases is to work successfully, there must be a method devised for linking data and information in one database with corresponding data in other databases. To do so, a group of data stewards, whose membership will be composed of senior managers at the primary data-providing organizations (EED, DOLWD, UA, PFD) and the project manager (ACPE) will agree on a linking system using individual identifiers from the various databases. While this procedure will likely be complicated, maintaining accuracy and avoiding stale data are critical to this endeavor.

To accomplish this, Alaska will introduce a two-tiered governance plan. Tier 1 will consist of the Data Stewards and Tier 2 will be the Executive Decision-makers. The organizational structure will be laid out as shown in Figure 1, with stakeholders' investment constantly acknowledged.

**FIGURE 1**




The role of the Data Stewards is to 1) develop and deploy an ongoing method of soliciting feedback from stakeholders, including teachers, school/district administrators, executive and legislative representatives, to ensure relevance, timeliness, availability and sustainability of value-added information; 2) develop and deploy a risk-management plan specific to protecting PII and ensuring data and report validity, reliability and general integrity; and 3) design and deploy a system of SLDS user roles, with various levels of security, including roles for parents and other interested members of the public, for teachers and district administrators, and for researchers who will have the ability to generate ad hoc queries.

The primary role of the Executive Decision-makers is the development of agreements that transcend executive administrations through specific protocols, to establish priorities and coordinate release of data, for the durations of the grant and beyond. The positions that will carry out these responsibilities include:

- Executive Director, Alaska Commission on Postsecondary Education
- Commissioner, Alaska Department of Education and Early Development
- Commissioner, Alaska Department of Labor and Workforce Development
- Commissioner, Alaska Department of Revenue
- Vice President for Academic Affairs, University of Alaska Statewide System
- President, ANCSA Education Consortium
- Executive Director, Alaska Association of School Boards
- Two Members of the Public

Members may designate someone to serve on the board on their behalf, and this is a separate body from the board of data stewards. This board will be charged with executive decision making, as distinct from the data stewards, who are members of data-provider organizations and who will be charged with developing and deploying implementation, enhancement and maintenance strategies. The project management responsibilities will reside within a component unit of EED.

All technology projects at ACPE are subject to a rigorous internal protocol and review, which includes risk management, business analysis, and a defined set of project documentation, beginning with scope and role definitions, current situation analyses and flowcharting, resource and constraint analyses, risk management, work breakdown structure (WBS) and dependency documentation, and critical path/GANTT documentation. Once these documents are created, the project management will additionally be subject to review by the directors of information technology at each of the major project collaborator agencies (EED, DOLWD, UA, and PFD) and by ACPE's Director of Information Support Services. These reviews will continue at defined intervals or upon request of the project staff, and they will include reports back from the reviewers to the project manager and to the Executive Decision-maker governance group. At the highest level, an annual report to stakeholders will be provided, supplemented by regular less formal communications.

Project meetings will be regularly scheduled as both face-to-face and WebEx meetings, in order to ensure development of relationships and maximize efficiency. It is additionally proposed that the project manager coordinate a series of "town hall" meetings in each of Alaska's five regions (far north, interior, southwest, southcentral, and southeast). Such meetings will leverage Alaska's success in providing video conference access to even the most remote communities, linking satellite communities to on-site project representatives at regional hub communities. These meetings will be supplemented by regular WebEx information and training sessions, the development of an Alaska SLDS Web site, and newsletter publication and dissemination at least quarterly. Of particular concern will be recognizing the vital importance of ensuring a bridge between our state's people and our technology – integration with cultural values is key to long-term success. It should be noted that stakeholder meetings have been underway in Alaska for several years, both as part of the development of the Unity project and in the form of the stakeholder meetings convened over the summer of 2009, with the assistance of WICHE and NCHEMS (see Appendix D) to identify policy goals undergirding development of an Alaska SLDS.

A primary goal of the project management staff and governance bodies will be developing and deploying Administrative Code to govern SLDS activities, as well as developing and deploying an overarching agreement among data providers that details roles and responsibilities. The Data

Stewards Agreement (see Appendix A) developed in support of this grant application is a first step toward that goal.

Already the state has succeeded in developing arrangements that enable it to technically link individual-level data across all three sectors, with DOLWD providing the match and with the PFD information providing the critical crosswalk information, which validates linkages between the otherwise incompatible systems used by the two educational agencies. While these early efforts to date are admirable, the process is neither systematic nor technically formalized.

Although the current scaffolding of bilateral and multilateral MOUs may combine to provide Alaska with the capacity to track individual students, there is no guarantee that such a rickety (or tenuous) structure can stand the test of time. Alaska will revamp this scaffolding with administrative orders and related overarching, multi-agency governing agreements thereby ensuring a more stable environment and sustaining a lasting process for each state agency that will continue to link and share its data. These efforts, which Alaska currently has in place, clearly demonstrate Alaska's culture is primed for the next step forward in terms of solidifying a governance structure for data sharing.

**(E) STAFFING**

The project will be staffed by a full-time project manager (see position description, Appendix B) and a technical assistant devoted entirely to SLDS development. In addition, these positions will be supported by an existing project coordinator, senior business analyst, and senior programmer/analyst, all of whom will be redeployed from current roles to serve on the project team and act as staff to the governance bodies (see resumes in Appendix B). These staff members are further supported by a rich resource of budget analysts, business analysts, and procurement officials, all of whom will have time allocated specifically in service of the project. The Commissioners of DOLWD and EED, and ACPE's Executive Director, have each committed to ensuring their human and other resources are available as needed in support of this project.

The project manager will additionally be supported by contractual resources, the first of which is anticipated to be a current situation/gap analysis, to expand upon the work of the WICHE/NCHEMS data audit and create a detailed framework for action. Key personnel are qualified to work on the Alaska's ANSWERS project based on having appropriate project management training and experience, having demonstrated the appropriate technical skills, and having documented associated required professional training. Another selection requirement relative to key personnel is experience sufficient to have a detailed understanding of the data, the technologies to be implemented, and the environment in which the data will be deployed. For example, DOLWD has assigned its Senior Research and Analysis Economist, who manages the agency's statewide data links, and ACPE has assigned its Senior Programmer/Analyst who has extensive experience in the design, testing, audit and coding of complex business intelligence technologies.

Funding for both staffing and contractual support will initially come from the SLDS grant award. However, it is anticipated that the SLDS-specific positions will be regular staff whose positions will persist beyond the grant. For that reason, the project manager to be hired for the SLDS will be placed into a regular, existing (but vacant) position, as distinct from a term-specific position, as will the technical assistant. These positions were identified prior to the grant application as vital for the state to be able to develop the data needed to inform educational policy and improve outcomes. The Alaska group further anticipates making SLDS maintenance and enhancement part of its ongoing regular annual budget, and proposes to build the system with that goal in mind, and thus ensure a structure designed specifically for efficient sustainability.

In conclusion, the federal grant award will allow the State of Alaska and all of its stakeholders to increase the capabilities of P-12 education data system and expand linkages from this P-12 education system to postsecondary data, workforce, and other outcomes data, to track student progression, completions and outcomes through Alaska's education system, enabling a true longitudinal P-20 education data system and beyond. The ultimate benefit will be a more highly educated Alaskan citizenry, poised for individual and collective success.

# Project Narrative

## Project Narrative - Appendix A, Optional Attachments

Attachment 1:
Title: **Appendix A-Alaska's ANSWERS** Pages: **15** Uploaded File: **G:\workgroups\SLDS Project\Final Versions\Appendix A.pdf**

**Alaska's ANSWERS**

Appendix A – Optional Attachments

- Multi-Agency Letter of Agreement
- Making Alaska More Competitive by Preparing Citizens for College and Career (companion piece)
- Connecting a Disjointed System: A First Look at Aligning Education in Alaska
- The Cost of Crime: Could The State Reduce Future Crime and Save Money by Expanding Education and Treatment Programs

# Alaska Multiagency Data Stewards Agreement

**Preamble:**

The Alaska Multiagency Data Stewards Agreement supplements the letters in support of the State of Alaska Statewide Longitudinal Data System (SLDS) grant application developed in November 2009 and signed by state agency executive leadership. This agreement memorializes the commitments made by senior data stewards of Alaska state agencies to work collaboratively in support of the establishment and maintenance of an Alaska SLDS.

The Alaska Multiagency Data Stewards Agreement is further established as a conceptual agreement; detailed data sharing and resource commitment agreements will be developed pursuant to the terms developed within the SLDS project.

**Recitations:**

**Whereas** the State of Alaska does not currently have a statewide system to measure citizen progress through P-12, higher education, labor, and other data related to educational and economic success over time;

**Whereas** establishment of an Alaska SLDS will enable the State of Alaska to track and analyze educational and workforce development outcomes within the state and make informed policy decisions and changes to necessary to improve such outcomes for its citizens;

**Whereas** linking data among agencies, including certain authentication information, is necessary to conduct longitudinal analyses;

**Whereas** use of the data will be solely for research and analytical purposes, and to measure the outcomes of educational policies and interventions, and will not be used to determine eligibility or to make any other determinations affecting an individual;

**Whereas** the Alaska SLDS will adhere to best practices for protecting data from unauthorized physical and electronic access and to prevent the release of personally identifiable information;

**Whereas** data provided to the Alaska SLDS will be managed in compliance with all applicable federal and state laws and regulations protecting the privacy of citizens including the Family Educational Rights and Privacy Act (FERPA) and the Alaska Personal Information Protection Act (APIPA); and

**Whereas** the Alaska SLDS will be implemented through a partnership among Alaska's Department of Education and Early Development, the Department of Labor and Workforce Development, the Department of Revenue, Commission on Postsecondary Education, and the University of Alaska, with the Alaska Commission on Postsecondary Education serving as project manager and grant administrator;

**Agreements:**
The parties to this document have agreed upon the following, in support of the Alaska SLDS project:

Within the constraints of the law, to take all reasonable steps to provide timely and complete access to data maintained by the agency, and to honor all related agreements;

To the extent practicable, to support changes to statutes and regulations as needed to ensure efficient SLDS access to data in perpetuity;

To participate actively on data oversight and SLDS governance committees, to give input on SLDS decisions, and to give timely feedback to the project manager relative to issues and questions;

To the extent possible and reasonable, make appropriate resources available to focus on SLDS projects, including human resources, system time, and any funds allocated to the agency specifically in support of SLDS activities and projects; and

To address unresolved issues or concerns to the SLDS Executive Governance Board

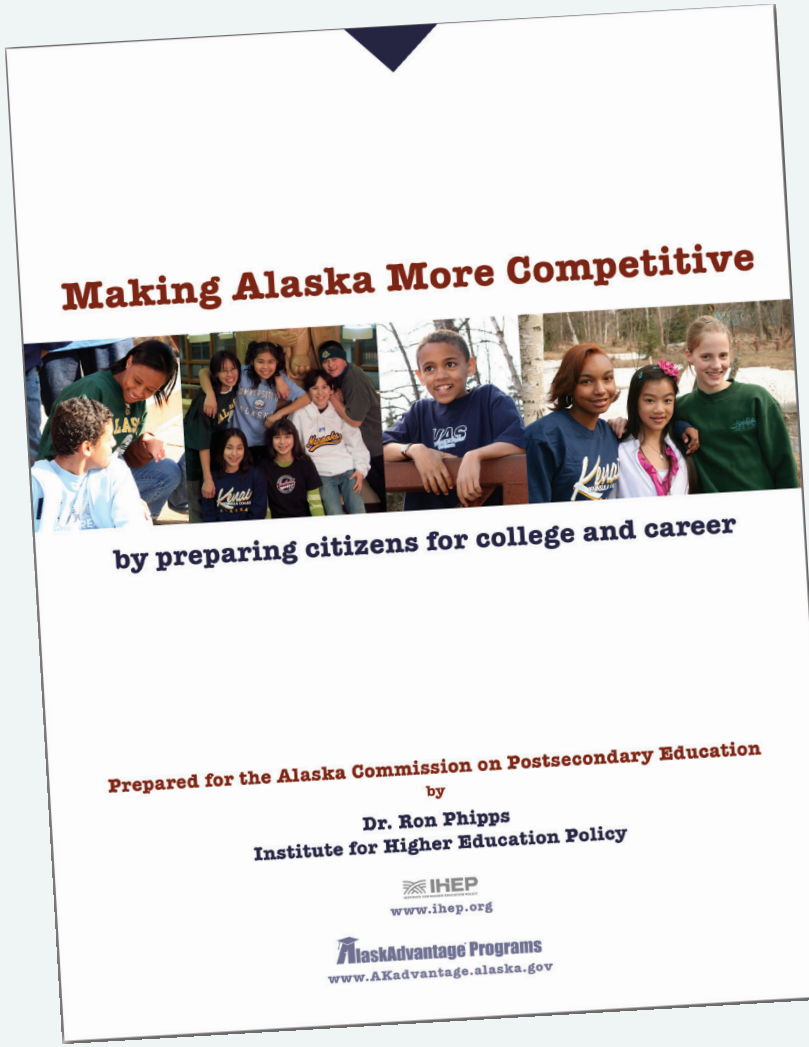
**Signatures:**
The parties sign this Agreement, this 18th day of November, 2009:

for Leo Manz
Larry LeDoux, Commissioner,
Alaska Department of Education and Early Development

Jeff Hanson
Brynn Keith, Chief, Research & Analysis Division,
Alaska Department of Labor and Workforce Development

Gwendolyn White
Gwendolyn White, Associate Vice President for Institutional Research, Planning and
University of Alaska

# Companion to:




# We live in an information age.

Technical information will double every 72 hours by 2010.

By 2015, 76% of U.S. jobs will require highly skilled workers.

3000 new books are published daily.

The top 10 jobs of 2010 don't yet exist.

**Postsecondary education is more important than ever.**

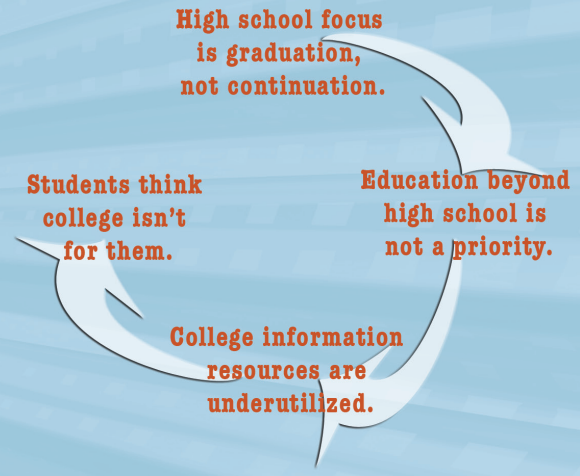
## How will Alaska fare?

**Among the 50 states Alaska consistently ranks at the bottom in educational performance indicators:**

| | U.S. Ranking |
|---|---|
| 9th graders graduating from high school | 42nd |
| High school seniors going directly to college | 46th |
| College freshmen returning for a second year | 50th |
| 9th graders having a bachelor's degree 10 years later | 50th |

**Alaska citizens are not prepared for success in the 21st century.**

## Why isn't Alaska doing better?




Without a change to Alaska's attitudes and expectations, Alaska citizens are foregoing the collective and individual rewards of postsecondary education:

| Public Benefits: | Private Benefits: |
|---|---|
| Attract business and industry investment | Higher wages & better benefits |
| More productive & flexible workforce | Less risk of unemployment |
| Less demand for state assistance | Higher savings levels |
| Increased tax revenue | Better health & life expectancy |
| Reduced crime rates | Higher quality of life for families |

# Alaska's Student Pipeline: The Leakiest in the Nation

## For every 50 Alaska 9th graders...

... 19 fail to graduate from high school

... 17 finish high school, but don't go on to college

... 5 go on to college, but don't stay past the 1st year

... 6 remain in college, but do not complete a degree after six years

... only 3 earn a postsecondary education credential within 150% of the standard timeframe

**Did You Know?** At 17.3% Alaska has the 2nd highest unemployment rate in the nation for those without high school diplomas.

**Did You Know?** An Alaskan with only a high school diploma is four times more likely to be incarcerated as one with at least some college.

**Did You Know?** 23% of those with some college, but no degree, are smokers, compared to 14% of bachelor's degree holders.

**Did You Know?** The other 49 states, Mexico and Turkey all have higher degree completion rates than Alaska.

**Did You Know?** In Alaska 82% of bachelor's degree holders vote, compared to 61% with only a high school diploma.

# What's the Solution?

## 1. Create a College-Going Culture

Expand statewide programs to increase awareness among counselors, teachers, parents, and K-12 students that postsecondary education and/or training must be expected for every child, with special emphasis on low-income, first generation, and underrepresented students.

## 2. Focus State Leadership

Create a cabinet-level K-16 Advisory Council to coordinate efforts and advise the Governor on strategies and outcomes. Avoid creating new costs by leveraging the existing AlaskAdvantage Education Access Advisory Team to develop and present to the Governor specific plans to improve the outcomes of Alaska's education system.

## 3. Establish Cross-Sector Accountability

Encourage postsecondary, K-12, business and community organizations to partner to

1) align high school standards with real-world expectations;
2) deliver a rigorous core curriculum;
3) align high school and postsecondary assessments; and
4) track student K-16 success through a longitudinal data system.





"Preparing students for college and career is essential for Alaska's economy to thrive—today and in the future. Failure in this endeavor is simply unacceptable. As Alaska leaders, as business people, and as parents, teachers, and mentors, it is imperative to provide our youth with strong career paths and Alaska employers with a skilled workforce. The first step is developing a robust higher education and training pipeline that equips Alaskans with the ability to contribute to and benefit from the strong economic future that awaits us. A strong higher education system will ensure that more Alaskans stay home for their college and university experience, thus increasing the next generation of Alaska leaders!

*Making Alaska More Competitive* recommends a framework to begin building that pipeline—the time is now."

*--Carol Comeau, Superintendent, Anchorage School District*

"*Making Alaska More Competitive by Preparing Citizens for College and Career* provides compelling evidence that expanding access to postsecondary education, both collegiate and vocational, is key to a strong future for Alaska citizens. With pending gas line development and attraction of new investment from industry, Alaska is at the dawn of a new era of economic growth. However, without the education and training that prepares Alaska citizens for critical career fields, Alaska will miss the opportunity to maximize related benefits."

*--Diane Barrans, Executive Director, Alaska Commission on Postsecondary Education*

IHEP
**www.ihep.org**

**AlaskAdvantage® Programs**
**www.AKadvantage.alaska.gov**

The full report *"Making Alaska More Competitive by Preparing Citizens for College and Career"* is available online at *www.AKadvantage.alaska.gov*

**ALASKA COMMISSION ON POSTSECONDARY EDUCATION**
**Executive Office: (907) 465-6740 (Juneau)**
**Outreach Office: (907) 269-7980 (Anchorage)**

Institute of Social and Economic Research
RESEARCH SUMMARY
R.S. No. 70
University of Alaska Anchorage • November 2008

# Connecting a Disjointed System: A First Look At Aligning Education in Alaska

By G. Williamson McDiarmid and Alexandra Hill

We've heard it before, but it's still true: too many Alaska students don't have the skills they need to move on to the next stage of education or to get good jobs. Too many drop out of high school, and too few of those who graduate go on to college or other post-secondary education—and among those who do go on to post-secondary education, many don't graduate within four or even six years.

Employers report that young people entering the work world directly after they graduate from high school (or right after they drop out) don't have the reading, writing, and math skills necessary for many of today's jobs, even entry-level ones.

Alaska is not alone in these problems, but the high-school dropout rate is higher than the U.S. average and fewer graduates go to college. A third of Alaska's high-school students don't even graduate, and only about a third graduate and start college right away (Figure 1).

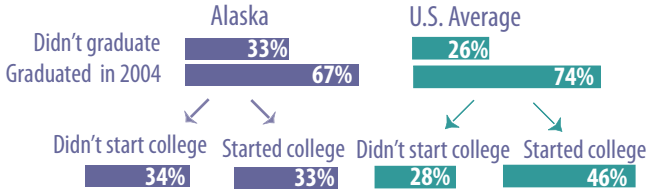
Many states have begun to address these problems by looking at education *alignment*—that is, coordinating the policies, programs, and mechanisms needed to support students as they move through the system from pre-school to elementary and high school and on to higher education or work.

Ideally, education levels would be coordinated so all students were prepared for the next step. In practice, many students—from kindergarten through college, vocational training, or work—enter without the knowledge and skills their teachers, professors, or employers expect. The students and their families are often frustrated that—despite indications to the contrary—they haven't been prepared for the next level. This frustration contributes significantly to the high dropout rates in both high school and college.

This publication summarizes a longer paper on the scope of alignment problems in Alaska and identifies areas where more research is needed or there are no data at all. It concludes with suggestions about steps the state should consider for improving alignment.

To move toward alignment, educators would synchronize their learning goals, curricula, and expectations. K-12 and early-childhood educators would agree on the skills children need entering kindergarten and first grade and how best to assess those skills. Likewise, businesses, higher education institutions, and schools would jointly determine the skills required for high-school graduates entering the workforce or college. To ensure that policies and resources supported such alignment, policymakers would need to collaborate in the process, working with educators from various education levels.

**Figure 1. Students Who Started High School in 2000**




**Source:** Digest of Education Statistics 2006

## Transitioning to School: Early Childhood Education

We'll talk first about early childhood education—that is, education children receive before entering kindergarten. This is important, because several longitudinal studies have shown that children who receive high-quality early education are less likely to need special education or drop out, and as adults earn more and are less likely to commit crimes and receive welfare.

Alaska is one of only 12 states with no state-funded early education. It has federally mandated special education pre-school and federally funded Head Start programs in many communities. These programs together enroll about 16% of Alaska's 3-year-olds and 22% of 4-year-olds. Many more students in urban areas are enrolled in private pre-schools.

Overall, about two-thirds of Alaska children attend some sort of pre-school, according to the 2007 State Preschool Yearbook. But there is little information on how well these various programs prepare students to enter school.

### How Many Alaska Children Aren't Ready for School?

The main source of data on Alaska children's readiness for school is the Developmental Profile. Teachers administer this assessment when children enroll for the first time in public school, usually kindergarten but sometimes first grade. The profile includes information on many aspects of development—physical and social, language and literacy, and cognitive.

Teachers rate children as "routinely," "inconsistently," or "never" exhibiting 11 measures of school readiness.

Data from recent profiles show that fewer than 5% of children rate "no" in physical well-being and social development. But about 10% fail to demonstrate the requisite skills in each of the areas of language and literacy development and cognitive development. Between 20% and 50% demonstrate these behaviors "inconsistently."

ISER and Avant-Garde Learning Foundation jointly carried out this research, funded by a grant from Shell Exploration and Production Alaska.

These statewide results mask wide variations among districts. In many, more than one-third of entering students don't meet some of the readiness measures, and in a few 60% or more don't. Those districts lose valuable time trying to catch children up, and some children never catch up.

### What are the Limits of the Data?

We don't know how effective Head Start programs are. Some school districts with communities served by Head Start have Developmental Profile results similar to the state average, while in others the majority of children are rated as deficient on one or more measures. Little research has been done on what approaches are most effective for preparing Alaska Native children for school. Also, we lack data on the extent to which Head Start grantees coordinate with local school districts or with each other.

Districts report Developmental Profile results to the state without identifying individual children. Although the profile is a useful tool for teachers and parents, the lack of identifying information means the data cannot be disaggregated by student characteristics such as ethnicity, gender, or socio-economic status. Therefore, the profiles are not useful for tracking efforts to improve Alaska children's school readiness or for exploring the effectiveness of different programs.

## Transition From High School To College or Work

### What is the Issue?

Many Alaska high-school students graduate unprepared for post-secondary education or work. Alaska's colleges and universities find that many of their entering students—even those with good grades in high school–aren't ready for college-level work.

A 2006 national survey of 431 employers, published by Partnership for 21st Century Skills, reported that 42.4% of the respondents rated new entrants with high-school diplomas as "deficient" in their overall preparation for the entry-level jobs they typically fill, and 45.6% rated their preparation as "adequate" Almost no one (0.2%) rated their preparation as "excellent." Anecdotal information from Alaska employers suggests that Alaska's high-school graduates are no different from their counterparts Outside.

Available data also indicate that many of Alaska's high-school graduates are not prepared for college—but even within Alaska, what constitutes "prepared" can differ among institutions.

### How Prepared Are Students for College?

The majority of Alaska students who enroll in college in the state go to one of the three University of Alaska campuses—Fairbanks (UAF), Anchorage (UAA), or Southeast (UAS). All three require students to demonstrate they're prepared for introductory level courses in English and math, through previous test scores (such as the SAT) or university placement tests.

Some requirements are similar across all campuses, but others are quite different. Table 1 shows (in abbreviated form) requirements to place into "freshman level" English. The information in the table raises two issues. First, it's neither easy to find nor to interpret. While academic advisors at the universities certainly know and can explain the requirements, prospective students, their parents, and teachers may be unable to get any clear sense of the actual skills and knowledge students need, or how they will demonstrate their proficiency. The other notable point is the difference in SAT/ACT scores required for entry into English 111 at UAA and UAF: SAT of 530 versus 430, ACT of 22 versus 17. That means students must score a bit above the mean (about 59th percentile) at UAA, but in the 20th to 30th percentile range at UAF.

**Table 1. Prerequisites for ENGLISH 111 at University of Alaska**

| Campus | ACT | SAT | Accuplacer* | Other |
|---|---|---|---|---|
| UAF | 17 | 430 | Not mentioned | COMPASS (52)<br>ASSET (45)<br>HS GPA 3.0 or higher and permission |
| UAA | 22 | 530 | 180 combined reading and sentence skills, including at>=85 reading, >=95 sentence skills | |
| UAS | n/a | n/a | 454 combined essay, reading, sentence skills, including >=92 in both reading and sentence skills | Not mentioned |

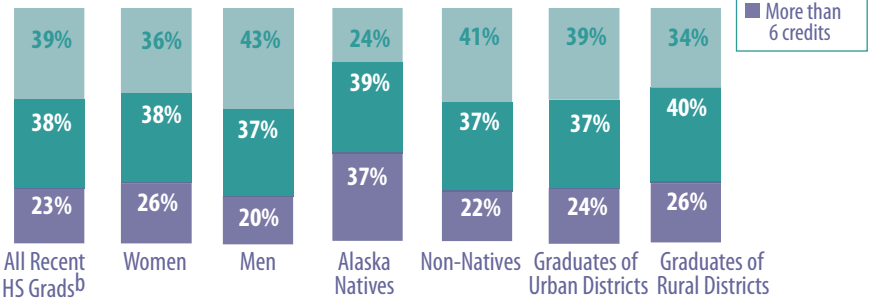
*Accuplacer scoring is not a simple cut-off score, but rather a set of minimum total score and subtest scores, simplified here for comparison.

Students assessed as unprepared are directed into "developmental" courses—which often don't count towards their degrees.

Data available at UAA allow us to see how many entering students had to take developmental courses. Among recent high school graduates enrolling at UAA for the first time, 60% take at least one developmental course. Almost one-quarter take more than 6 credits of developmental courses (Figure 2).

This analysis includes all students who enrolled at UAA for the first time in the fall semesters from 1998 through 2007. Further, we focused on "recent high-school graduates," defined as those who had graduated from high school either the same year as they enrolled at UAA or one year earlier. Thus, for example, students entering in fall semester 2007 were considered recent graduates if they had graduated in 2007 or 2006. Over the 10 fall semesters we examined, 15,713 recent high-school graduates enrolled.

**Figure 2. Developmental Course Credits Taken by Recent High-School Graduates at UAA[a]**




[a] Students who enrolled at UAA for the first time in fall semesters 1998 to 2007
[b] Those who graduated from high school either the same year or one year before they enrolled at UAA

Source: UAA Office of Institutional Planning, Research, and Assessment

We disaggregated the data on recent high-school graduates to look at the numbers of Alaska Natives and non-Natives, men and women, and graduates of urban or rural Alaska high schools. Ethnicity was self-reported. Urban graduates are those who graduated from high schools in the Anchorage, Fairbanks, Juneau, Mat-Su or Kenai school districts; rural graduates are those from all the other districts. (About 15% of recent graduates were from other states or countries, or the location of their high school was unknown.)

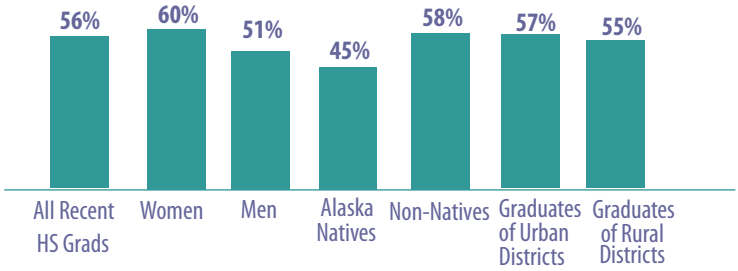
It's worth emphasizing that all but one of these sub-groups averaged high-school grade point averages (GPAs) of 3.0 or better. Men's average GPA was 2.98. We looked at the number of developmental credits these students took, categorizing these as none, 1 to 6 credits, or more than 6 credits.

Figure 2 shows that men are somewhat less likely to take developmental courses than women and to take fewer credits if they do. This may mean that men score better on placement tests (despite their slightly lower GPAs), or that they disproportionately enroll in programs that don't require college-level English or math (e.g., certificate programs in vocational fields). It's also possible that they are more likely to find ways around enrolling in recommended developmental course work—such as getting the professor's permission to enter a college-level course.

Alaska Natives are about 30% more likely than non-Natives to take at least one developmental course, and about 70% more likely to take more than 6 developmental credits. Graduates of rural high schools are somewhat more likely (about 8%) than graduates of urban high schools to take developmental courses.

How do the thousands of UAA students who take developmental courses do? Unfortunately, they're not highly successful. Overall, recent high school graduates pass just over half the developmental courses they attempt (Figure 3). Women are more successful than men and non-Natives more successful than Alaska Natives. There is little difference between students from urban and rural high schools.

**Figure 3. Percent of Recent Alaska High-School graduates Who Passed Developmental Courses They Took (By Course Type and Credit)**




See Notes, Figure 2. Source: UAA Office of Institutional Research, Planning, and Assessment

### How Prepared are High-School Graduates for Work?

Alaska's students may graduate from high school unprepared for today's careers as well as for college. Although we lack comprehensive data for the state, we do know that employers often report they can't find qualified applicants for their openings. They also report that many of today's technical careers require as much mathematics or writing as entry-level college work.

A 2003 report on vocational education in Alaska noted that as accountability mandates and high-stakes testing were instituted between 1997 and 2003, the resources available for and participation in career and technical education in secondary schools declined. But no systematic data are available on how well prepared Alaska high-school graduates are to enter the workforce.

### Do Current Requirements Prepare Students?

We've reported evidence that many of Alaska's students leave school unprepared for either college or work. But since many of these students did graduate from high school, does that imply that meeting the current graduation standards isn't enough to prepare students for college or work?

Alaska's state standards in English and math stop at the 10th grade level; science standards include 11th grade. The High School Graduation Qualifying Examination (HSGQE) is also the 10th grade level Standards-Based Assessment. Most districts require, in addition to the HSGQE, specific courses for graduation, without specifying the expectations of those courses. Others require students to demonstrate a particular level of proficiency in several areas.

The published high-school graduation requirements of the districts we reviewed (Anchorage, Bristol Bay, Aleutians East, Lake and Peninsula, Northwest Arctic, North Slope and Chugach) didn't make it clear whether those requirements went beyond the state's 10th grade standards. Although it was beyond the scope of this study to review all 53 districts in the state, we interviewed superintendents of four districts (Chugach, Aleutians East, Lake and Peninsula and Bristol Bay) and four principals in two of those districts. We asked them about their academic expectations for 11th and 12th graders, and whether they believed their graduation requirements ensured that graduates would be to be prepared for post-secondary education, job training, or work.

The superintendents and principals expect 11th and 12th graders to have passed the HSGQE and to be on track to graduate. They also expect those students to begin focusing on preparing themselves either for college or for work. They emphasized that students need to go beyond the graduation requirements to be fully prepared for college or work.

Some districts reported that teachers tell their students the minimum graduation level of work is equivalent to about 10th grade and will not prepare them for college-level coursework. And all the respondents said students have opportunities to learn far more than the minimum—and that too few students take advantage of those opportunities.

## Summary and Recommendations

Reviewing national research and available data on Alaska, we see that:

- Up to one-third of Alaska children enter the public schools with no pre-school experience.
- In some school districts, more than half the entering children don't demonstrate all dimensions of school readiness educators expect to see.

• Research predicts that these students are more likely to need special education services and to drop out of high school.

• In the small sample of districts we canvassed, just meeting the high-school graduation requirements does not guarantee graduates that they are prepared for college or for technical training.

• Many high-school graduates who do enroll in Alaska universities find they are not prepared for college-level work.

• Employers report that they find many recent high-school graduates unprepared to embark on careers.

To address these problems—especially lack of alignment—effectively will require coordinated efforts among parents, educators, policymakers, and researchers. One approach that many states (30 as of 2006) are using is formal councils established to address problems from pre-school through college. A review by the Education Commission of the States found that while the specific membership, funding structures, and goals differ, such organizations typically aim to:

• Expand access to early learning for children ages 3 to 5, and improve their readiness for kindergarten

• Smooth student transitions from one level of learning to the next

• Close the achievement gap between white and minority students

• Upgrade teacher education and professional development

• Strengthen relationships between families and schools

• Create a wider range of learning experiences and opportunities for students in the final two years of high school

• Improve college readiness and college success

The commission also reported several states' successes, including reducing achievement gaps, increasing success on advanced placement testing, and raising higher education enrollment.

To be effective, councils need to work within a shared vision of the total system and commit to long-term efforts and real change. Andrea Venezia, a noted education researcher, cautions that, "convening a commission and holding cross-system discussions may be helpful, but these steps alone will not create meaningful K-16 reform. To be lasting and effective, the deliberations must be anchored in policy and finance reform and must reflect each state's culture and history." Any effort that hopes to be successful will have to convene key stakeholders, determine what additional data and analyses are necessary, undertake those research efforts, identify potential solutions, and make recommendations for change.

In our discussion we've identified both problems in the education system and gaps in the Alaska data. What don't we know?

• We need better data on children who enter school unprepared: numbers, areas of unpreparedness, pre-school experience, and progress in elementary school. The new Developmental Profile assessment, aligned with the state's early learning standards, has the potential to provide some of this information, if the Department of Education and Early Development is authorized and funded to link profile information with later student data and analyze it.

• We need better information on dropouts: numbers, demographics, and subsequent educational experiences and GED completion.

• We need to understand what districts expect of their 11th and 12th graders, and how they convey those expectations to students and parents. Do students and parents realize that the minimum graduation requirements will leave graduates unprepared for most post-secondary education and training and for many jobs? Do teachers understand what students need to succeed in college level work?

• We need to consider how to collect data about the success of high school and college graduates. If we want to hold high schools and universities accountable for preparing their students, we must be able to measure how well they do so. The state is creating a data system for tracking students in the public schools, from entry through high school graduation. What's missing is the capability to link P-12 data with university data with workforce data. Legal safeguards on data use present a challenge, but it's not insurmountable.

Finally, we hazard a few recommendations.

1. Alaska should create publicly funded, high-quality early childhood education that would be available to all families but voluntary. That would expand enrollment and help ensure that all students are prepared for kindergarten and first grade. Investing in school readiness will save money in the K-12 system and beyond.

2. We need to ensure that our high-school graduates are prepared for college or careers. Whether this should be through more rigorous high-school graduation requirements, better counseling, increased investments in career and technical education, or some combination of these and other approaches is not clear. But too many of our high-school graduates are unprepared for life.

3. The University of Alaska must be involved. UAF, UAS and UAA should communicate, as a single entity, their academic expectations for entering students. Increases in the number and quality of distance-delivery courses mean that students anywhere in the state can take classes, especially at the introductory level, from any campus. They should be able to do so without discovering they are unprepared for beginning college-level work.

4. The state should support these efforts and muster the resources to overcome the inevitable difficulties. Because change across so many institutions and interests is required, leaders should be prepared to persist over the long haul. Establishing a council to coordinate education at all levels is a step in the right direction.

5. Alaska is ahead of many states in developing its longitudinal student data system. It needs to continue to develop that system and improve links with other data systems.

This summary is based on a longer working paper of the same title. It will be available on ISER's Web site, www.iser.uaa.alaska.edu, under Education Studies. That paper includes full references for research cited here.

The authors thank Gary Rice and Yuan-Fang Dong of UAA's Office of Institutional Planning, Research, and Assessment; Diane Erickson of UAA; and the public school superintendents and principals who gave us their time.

RESEARCH SUMMARY
Institute of Social and Economic Research
University of Alaska Anchorage • January 2009
R.S. No. 71

# The Cost of Crime: Could The State Reduce Future Crime and Save Money by Expanding Education and Treatment Programs?

By Stephanie Martin and Steve Colt

Alaska's prison population is among the fastest-growing in the U.S., with five times more inmates in 2007 than in 1981. Spending for the state justice system has nearly doubled since 1981—but the crime rate has dropped only about 30%.

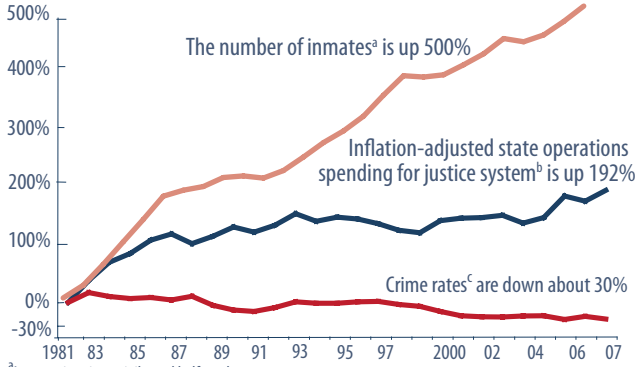
Here's the dilemma for the state, given the pattern shown in Figure 1: what can it do to hold down the number of inmates and stem the rising costs—while at the same time keeping the public safe and using tax dollars effectively?

Senator Hollis French asked ISER to project growth in the number of Alaska inmates and the associated costs—and then evaluate whether the state could reduce that growth by expanding intervention and prevention programs for people already in prison or at risk of ending up there. Alaska currently spends about $17 million a year for such programs, but they aren't available to many of those who might benefit from them.

There are a wide range of such programs. But it is programs for adults who are already in prison or jail that have the most potential to save money and reduce crime in the next 20 years. That's because they can reach the most people.

We know that without any intervention, about two-thirds of those who serve their sentences and are released commit new crimes. Stopping at least some of them from committing more crimes would not only help improve public safety but also reduce growth in both the number of inmates and in spending.

**Figure 1. Percentage Changes in Alaska Crime Rate, Spending for Justice System, and Number of Inmates, 1981-2007**

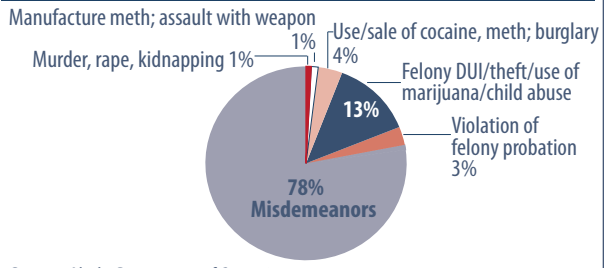



[a]Inmates in prisons, jails, and halfway houses
[b]Spending for Departments of Corrections, Public Safety, and Law; court system; Division of Juvenile Justice; Public Defender Agency; and Office of Public Advocacy. Does not include capital spending or payment on debt.
[c]Rates per 100,000 for murder, rape, robbery, aggravated assault, burglary, larceny, and motor vehicle theft.
**Sources:** U.S. Department of Justice; state budget documents; Alaska Department of Corrections

Also, most of those released committed misdemeanors (Figure 2). Those who commit the most serious crimes serve long sentences and make up a small share of those released in any given year.

To analyze which programs have the most potential to reduce crime *and* save the state money, we worked with the Alaska Criminal Justice Working Group and the Washington State Institute of Public Policy. That institute did a similar analysis for Washington state and provided us with data it collected from program evaluations nationwide (see back page). What did our study show?

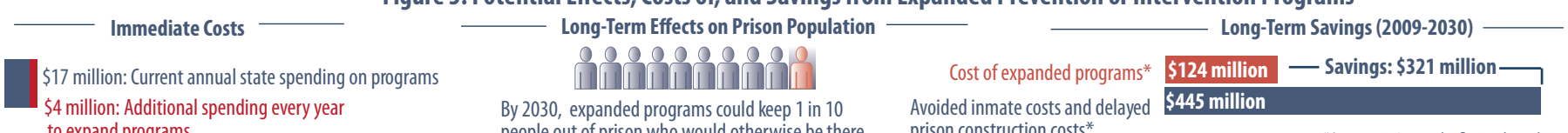
**Figure 2. Who Gets out of Jail or Prison in Alaska?**
**(Total Releases, 2002-2007: 82,339)**




**Source:** Alaska Department of Corrections

- *With no change in policies, the number of Alaska inmates is likely to double by 2030,* from 5,300 to 10,500.
- *If the state spent an additional $4 million a year to expand programs it already has, the prison population in 2030 might be 10% smaller* than projected—about 1,050 fewer inmates.
- *The state would spend about $124 million for expanded programs through 2030 but would avoid $445 million in costs—a savings of $321 million.* It would save money by incarcerating fewer people and by delaying prison construction costs. (Figures 3 and 8).
- *Education and substance-abuse treatment programs—in prison, after prison, and instead of prison—save the state two to five times* what they cost and reach the most people. Programs for teenagers are also very effective at reducing crime and saving money, but they reach fewer people.

**Figure 3. Potential Effects, Costs of, and Savings from Expanded Prevention or Intervention Programs**



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## Why Consider Expanding Programs?

In 1980, 2 in 1,000 Alaskans were behind bars; today that share is approaching 10 in 1,000. The sharp increase started in the 1980s, when the state government began collecting large oil revenues. The state used some of that money to expand police agencies, courts, and other parts of the criminal justice system statewide. Also in the 1980s, it made sentencing for the most serious felonies more uniform and stiffened sentences.

The crime rate in Alaska has declined since the 1980s. But the number of Alaskans in prisons, jails, and halfway houses has increased much faster, as have costs for the state justice system. Alaska's prisons are full, and the 1,500-bed prison scheduled to open in 2012 is projected to be full soon after it opens.

Locking people up is expensive, whether their crimes are major or less serious. Alaska spends on average $44,000 a year per inmate in prisons, jails, and halfway houses. Adjusted for inflation, that's actually less than in the 1980s—but it's still a lot (Figure 4).

Studies in other states have shown that some intervention and prevention programs can help cut both costs and crime, either by keeping people who have served their sentences from committing new crimes after they're released, or preventing some people from going to prison in the first place.

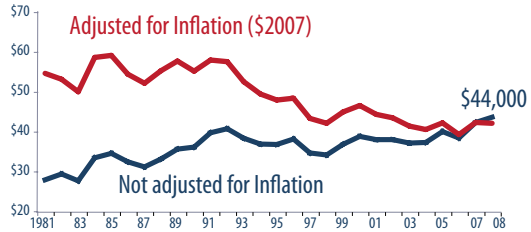
## What Programs Did We Analyze?

The Alaska Criminal Justice Working Group gave us a list of programs to analyze. We looked for programs with the biggest potential payoff for the state—those that could reduce growth in both numbers of inmates and in spending for corrections, at a reasonable cost for the state.

Alaska already has a number of programs in place, and we found that expanding some of those would be most cost-effective. Table 1 lists the programs in our final analysis. As a guideline for what was a "reasonable" expansion, we used 10% to 20% of the eligible people not already served—except for very small programs that can't easily be expanded that much.

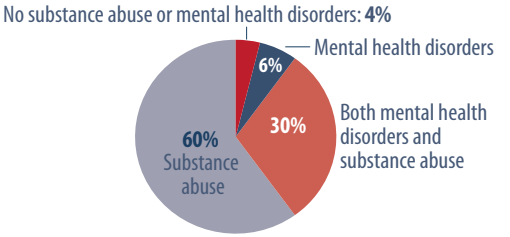
These programs would serve inmates, at-risk juveniles, and young children. They are all intended to reduce future crime in some way. Programs that treat substance-abuse or mental heath disorders have been shown to reduce recidivism—and as Figure 5 shows, almost all current inmates have those disorders.

**Figure 4. Annual State Costs Per Inmate,* 1981-2008**
**(In Thousands of Dollars)**




*Average cost of incarcerating people in prisons, jails, and halfway houses.
**Source:** Alaska Department of Corrections

**Figure 5. How Many Alaska Inmates Have Substance Abuse or Mental Health Disorders?**




**Sources:** Alaska Department of Corrections; Alaska Mental Health Trust

**Table 1. Current Size and Potential Expansion of Intervention and Prevention Programs[a]**

| Programs | Currently serve | Reasonable expansion | Potentially eligible (2008) |
|---|---|---|---|
| ***Prison-based programs*** | | | |
| Education (adult basic; vocational) | More than 1,000 | 500 | Almost all inmates (4,500) |
| Substance-Abuse (residential; intensive outpatient) | Close to 500 | 500 | 90% of inmates (approximately 4,000) |
| Sex-offender treatment[b] | 0 | 50 | 10% of 500 eligible inmates |
| ***Transition from prison*** | | | |
| Transition for inmates with mental health disorders (Institutional Discharge Project) | 70 | 100 | 36% of inmates (1,600) |
| ***Alternatives to Incarceration*** | 500 | 500 | Approximately 5,000[c] |
| Mental health, drug, alcohol courts; electronic monitoring; residential substance-abuse treatment | | | |
| ***Juvenile offenders*** | Approximately 500 | 1,000 | Approximately 3,000 |
| Aggression replacement training; family therapy; residential treatment; institutional transition | | | |
| ***Prevention*** | 3,025 | 450 | Approximately 8,000[e] |
| Head Start for 3- and 4-year olds from low-income families[d] | | | |

[a]Programs included in our final analysis are those for which we found evidence that expansion would have significant pay-offs for the state at a reasonable cost. We evaluated additional programs not included here, either because there wasn't sufficient evidence to assess their effectiveness or because they weren't feasible to implement in Alaska at this time.
[b]To effectively reduce crime, sex offender treatment programs need to be offered in both prison and the community. Treatment is currently available only in the community, so the number served in prison is currently zero—but there are proposals to add treatment in prison.
[c]People facing low-level charges and with substance-abuse problems.
[d]Head Start is a federal program, but the state supplements federal money and Governor Sarah Palin has proposed additional state funding.
[e]We assume all children from families with up to double the poverty-level income would be eligible.

We looked at but excluded other programs from our final analysis. The criminal justice working group decided that a few programs, while effective elsewhere, wouldn't be feasible to implement in Alaska at this time. For other programs, there wasn't enough available evidence to judge how effective they were in saving money or reducing crime, or the available evidence showed them to be largely ineffective.

## How Do the Programs Compare?

As Figure 3 (front page) shows, expanding programs to serve more of the eligible people would save the state about $321 million and reduce the projected number of inmates 10% by 2030. Figures 6 and 7 show how the various programs contribute to costs, savings, and reductions in the number of Alaskans behind bars.

- *Education and substance-abuse treatment programs for inmates save two to four times what they cost*, reduce recidivism by about four percentage points, and can reach the most people.
- *Intervention programs for juveniles who have committed crimes are very effective* at saving money and reducing recidivism, but they serve a much smaller number of people.
- *Programs that set up transition services for inmates with mental-health disorders* coming out of prison are among the most effective—but they can't readily be expanded to serve the many people who could benefit from them.
- *Alternatives to prison for some people charged with lesser offenses save the state money right away, and almost all reduce recidivism*. The exception is electronic monitoring, which is inexpensive but hasn't been shown to reduce future crime.
- *Treatment programs for sex offenders do reduce crime,* but they are very expensive and so don't save the state money.
- *Programs that prevent future crime by helping very young at-risk children are the most effective*. But the effects of spending for those programs aren't apparent until many years later.

**Figure 6. How Effective Are Various Programs at Saving Money and Reducing Crime?**

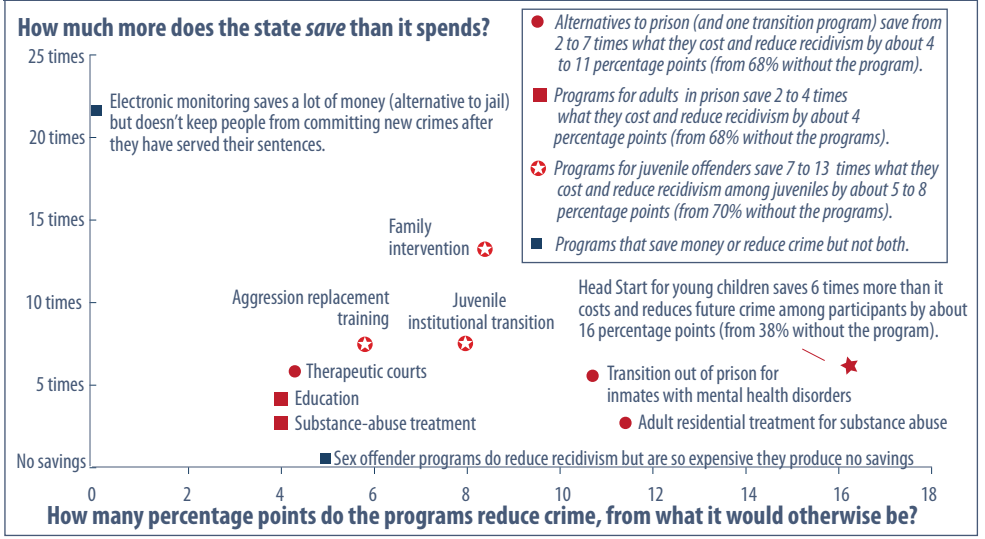
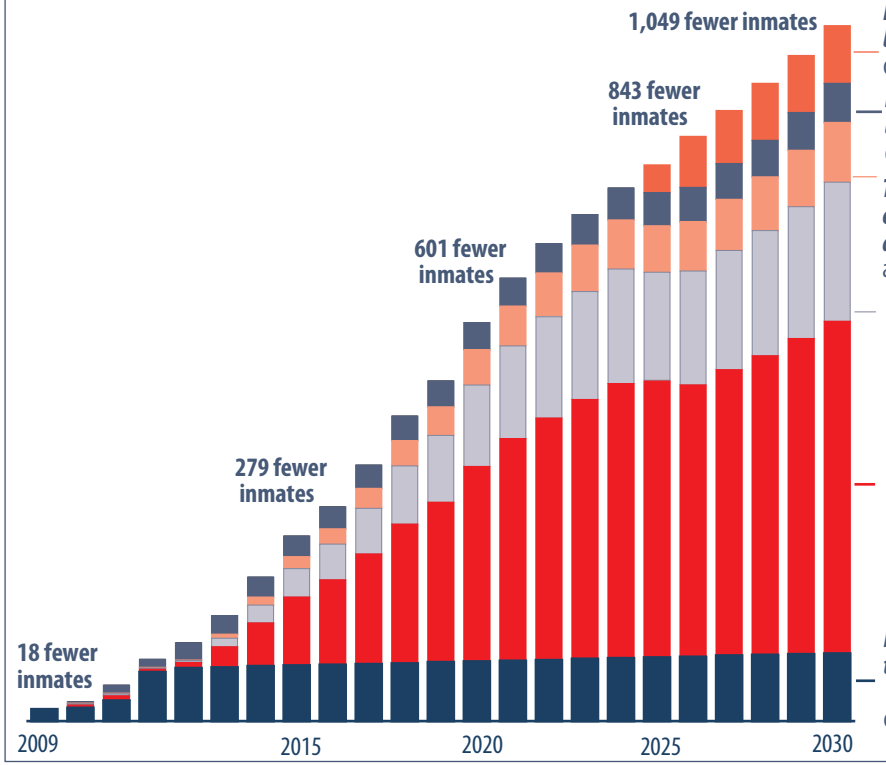



**Figure 7. How Would Expanding Specific Programs Contribute to Reducing Growth in Numbers of Inmates?**




***Pre-school programs for at-risk children cost about $1,000 per child but save many times that much, by reducing future crime.*** The effects of the spending aren't apparent for years, until the children grow up.

***Programs for juveniles offenders cost an average of about $2,500 per person, but save almost 10 times that much by keeping kids out of prison.*** They serve only a subset of the population of 12- to-17-year-olds.

***Transition programs for people with mental health disorders are extremely effective, add about $2,000 per person to inmate costs, and save about four times that much.*** But the programs currently serve very few people and can't readily be expanded to serve large numbers.

***Programs that treat inmates for substance abuse add about $2,000 a person to inmate costs, but over time save about twice as much.*** They are effective, but can't readily be expanded to reach all the people who need them.

***Education and job training programs in prison add about $1,000 to inmate costs, but they reach the most people and save about four times more than they cost***. Because they are offered in every facility, they can easily be expanded and can reach more people. (Reductions in the number of inmates as a result of the sex-offender treatment program are also included here, but are only one or two people a year.)

***Programs that keep people out of prison save the state money right away, because they cost much less than the $44,000 per person the state spends to lock people up.*** They include therapeutic courts for substance abuse and mental health disorders, electronic monitoring, and residential substance-abuse treatment.

## Conclusion

In conclusion, Figure 8 shows how Alaska's corrections system got where it is and where it's likely to go—if intervention and prevention program are kept at their current levels, and if the most effective programs are expanded to serve more of the eligible people.

We found that the state could both reduce the number of Alaskans in prison or jail and save considerable money over the next 20 years, by adding about $4 million a year to the $17 million it currently spends to keep people from returning to prison— or prevent them from ever going there at all.

Spending more for these programs even as oil prices and state revenues are falling may not seem like a good idea. But Alaska also needs to look to the future—and over time the benefits of strategically expanding those programs that reduce crime and keep more Alaskans out of prison far outweigh the costs.

## Method of Analysis

Our job was to assess whether specific programs could reduce long-term state spending for corrections by reducing growth in the number of inmates. As a starting point, we needed evaluations of how effective various programs are at reducing future crime.

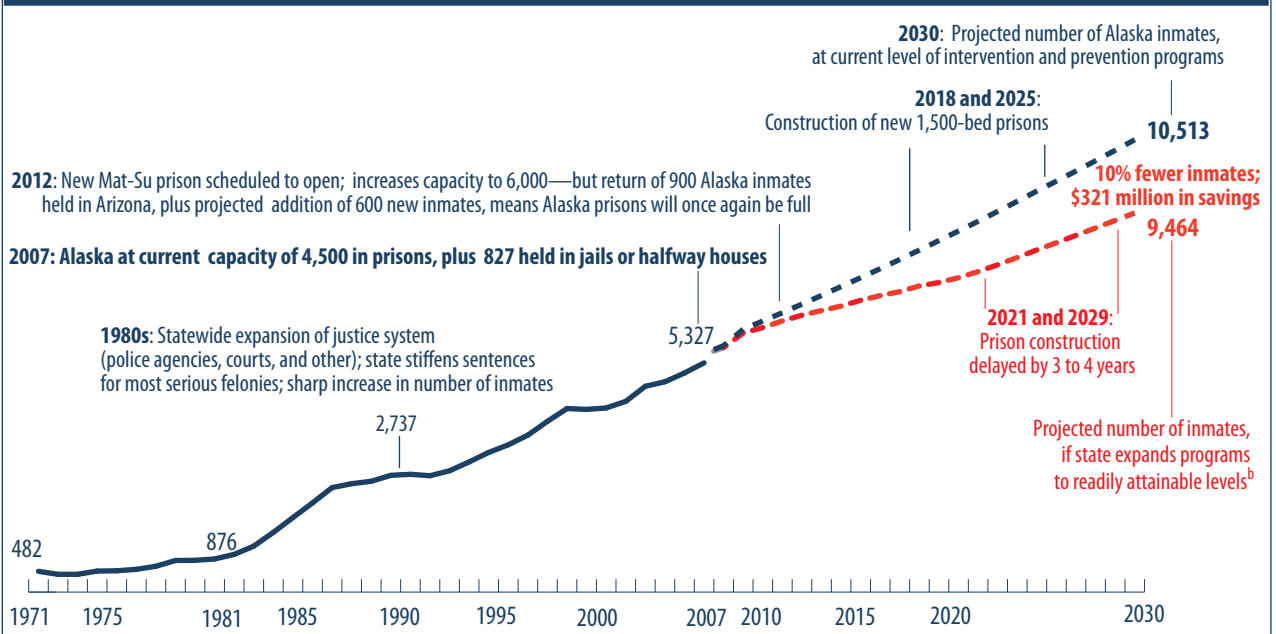
But except for some of the therapeutic court programs, most programs in Alaska have not been rigorously evaluated. Therefore, we used results of a Washington state assessment that systematically reviewed 571 program evaluations from around the country.

To be included, evaluations had to have carefully designed control groups, replicable results in multiple settings, and long-lasting effects. This method is evidence-based public policy, which merges research and practice. It is similar to clinical trials in medicine. Keep in mind that this is a new field, and only about 10% of programs in place nationwide have been evaluated at this standard.

With data from rigorous evaluations, the Washington State Institute of Public Policy created a model that estimated the effects of programs on recidivism—and then combined those results with a cost-benefit analysis to estimate the long-term effects on state spending and inmate populations.

We combined the institute's estimates of recidivism with Alaska data on program costs, eligible groups, and state population to estimate long-term effects on crime and state spending.

### Figure 8. Average Number of Alaska Inmates,[a] 1971-2007, and Projected Number, 2008-2030




[a]Average daily number of people in prisons, jails, and halfway houses. [b]The number of people who could be readily added to program rolls varies considerably by program; see Table 1.

**Sources:** Alaska Department of Corrections; ISER projections of number of prisoners, based on Alaska Department of Labor projections of Alaska population 18-64 and assuming no change in current use of rehabilitation programs as well as expanded use; Washington State Institute of Public Policy

The authors thank the members of the Alaska Criminal Justice Working Group for their help in identifying programs to evaluate and for comments on drafts of this publication. The Alaska Legislature funded this group in 2007 and authorized the Alaska Judicial Council to act as its staff.

The group is chaired by a justice of the Alaska Supreme Court and Alaska's lieutenant governor. Other members include top policymakers from the departments of Corrections, Public Safety, Health and Social Services, and Law, as well as the Alaska Mental Health Trust Authority; the heads of the Alaska Public Defender Agency and the Office of Public Advocacy; the administrative and deputy directors for the Alaska Court System; the executive director of the Judicial Council, the U.S. attorney, and Anchorage's police chief.

This group meets monthly to talk about long-term justice issues, as well as to resolve any inter-branch issues that come up among the many agencies and organizations that deal with aspects of Alaska's justice system.

The authors also thank Elizabeth Drake and Steve Aos of the Washington State Institute of Public Policy for developing the methods and models we used and for helping us apply them to Alaska. For more information go to www.wsipp.wa.gov.

This research summary and many other publications on a wide range of topics are available on ISER's Web site:

**www.iser.uaa.alaska.edu**

Editor: Linda Leask Graphics: Clemencia Merrill

# Project Narrative

## Project Narrative - Appendix B Resumes of Key Personnel

Attachment 1:
Title: **Appendix B - Alaska's Answers** Pages: **30** Uploaded File: **G:\workgroups\SLDS Project\Final Versions\Appendix B_Alaska's ANSWERS.pdf**

**Alaska's ANSWERS**

Appendix B – Résumés of Key Personnel

- Assistant Director for Research and Policy Analysis (new position)
- Stephanie Butler, Director of Program Operations
- Sheila Corey, Division Operations Manager
- Kenneth Dodson, Director of Information Support Services
- Carol Druyvestein, Business Analyst Officer
- Sidney Fadaoff, Program Coordinator
- Jeff Hadland, Economist IV
- Erik McCormick, Director of Assessments
- Joann Rieselbach, Program Coordinator
- Jim Weidemaier, Programmer/Analyst
- Jeff Wockenfuss, Programmer/Analyst

**ASSISTANT DIRECTOR FOR RESEARCH AND POLICY ANALYSIS**
**SLDS PROJECT MANAGER**

Alaska Commission on Postsecondary Education
P.O. Box 110505 • Juneau, AK 99811-0505

---

## *POSITION PURPOSE:*

- Manage ACPE's research and policy analysis unit and staff;
- Lead research, longitudinal data system, and policy analysis projects and initiatives;
- Design, develop, deploy and maintain agency data acquisition and maintenance and dissemination of systems and strategies; and
- Identify and foster relationships with external partners to expand research and policy analysis efficiency and effectiveness, and lead ad hoc and ongoing advisory bodies of external partners.

## *ESSENTIAL FUNCTIONS:*

**Manage ACPE's research and policy analysis unit and staff to:**

- Identify opportunities and provide policy research and statistical analysis in support of statewide programs and initiatives.
- Set goals and objectives for unit.
- Measure and report on unit progress relative to goals and objectives.
- Direct staff, assign work, evaluate performance, and resolve performance problems.
- Identify and secure resources for statewide longitudinal data systems.
- Ensure systems are in place for appropriate unit and product accountability and independence.
- Perform strategic and day-to-day problem resolution.

**Lead research, longitudinal data system, and policy analysis projects and initiatives:**

- Lead, develop and deploy research models and databases to project, analyze and inform policy direction and options, program management decisions, and related forecasting or appropriation and/or fiscal considerations.
- Maintain current knowledge of literature and research on financial aid, access to and benefits of higher education, and related areas.
- Oversee the development and publication of research and policy analysis reports, presentations, and publications.

**Design, development, deployment and maintenance of data acquisitions and maintenance and dissemination of systems and strategies:**

- Identify new research, analysis, and related opportunities and lead implementation of approved projects.
- Develop and maintain expertise specific to Alaska research needs, higher education policies and trends, and data sources/uses.
- Develop and maintain expertise specific to federal data sources such as NCES, state data sources such as Department of Labor, and agency databases such as InfoCenter and AlaskAdvantage Online.
- Develop, implement and maintain agency data archiving systems as needed.

**Lead ad hoc and ongoing advisory bodies of external partners:**

- Identify and lead multi-agency research and analysis initiatives.
- Respond to legislative inquiries for bill and policy analyses and related research.
- Work collaboratively with partner/stakeholder organizations, both public and private.
- Develop and chair advisory bodies.
- Create and maintain a communication network and strategy to ensure efficient and effective program information dissemination.
- Represent the agency at meetings and conferences as appropriate.

## *CRITICAL KNOWLEDGE, SKILLS, AND ABILITIES:*

**Knowledge of:**

- Federal and state legislation applicable to education access and delivery of Pre-K through postsecondary education, especially Alaska programs.
- Relevant data privacy issues and data controls, including FERPA and Alaska privacy laws and trends.
- Trends, demographics, political and public policy environment in which research occurs
- Principles of quantitative and qualitative analysis and limitations and applicability of empirical data.
- Relational databases and related technologies, equipment, systems, and tools.
- Effective and efficient business practices and strategies and theories of management, leadership, and motivation.

**Skills in:**

- Conducting and leading advanced analytical research.
- Specification of research questions and enunciation of findings.
- Statistical and economic modeling, methods and projections, and use of simulation software packages such as SAS or SPSS.
- Use of spreadsheets and databases, SQL or related query languages, relational databases and non-relational research tools such as OLAP cubes.
- Project management and implementation, including large scale, multi-organizational projects.
- Problem-solving, building and maintaining internal and external partner relationships and staff motivation and team leadership.
- Public communication and presentation, written and oral.
- Understand large system relational databases and associated data compilations
- Understand, recommend, implement and deploy policies and procedures to protect Personally Identifiable Information (PII) in state databases.
- Develop publications and information tools for a variety of audiences, both technical and lay.
- Identify appropriate methodologies and implement research and analysis designs and models to measure the impact of policy proposals or changes on agency programs and initiatives.
- Establish and maintain effective communication and relationship networks.
- Conceptualize econometric and demographic projection models to represent alternative policy options and considerations
- Identify research questions and models appropriate to the issue at hand
- Identify, test and implement methods to improve projections and analyses
- Present findings to stakeholders, including legislators and senior executives
- Solicit and negotiate partner relationships with other organizations, both public and private, federal and state

**Other requirements:**

- Baccalaureate degree in mathematics, statistics, economics, or related subject with documented coursework in research and statistics sufficient to have advanced understanding of research and statistics, both theoretical and applied; AND
- Three years of progressively advanced professional experience in a management or leadership role, relative to public policy initiatives, with preference given to applicants with CPM credentials or documented equivalent experience.

**STEPHANIE BUTLER**
Alaska Commission on Postsecondary Education
P.O. Box 110505 • Juneau, AK 99811-0505
□90□ 5□ • stea□nie.□utler □alaska.o□

***SUMMARY OF SKILLS:***

- Leadership
- Project management
- Project analysis
- Strategic planning
- Implementation of change/change management
- Relationship building
- Research
- Communications
- Budget preparation and administration

***EXPERIENCE:***

**2001 – Present Alaska Commission on Postsecondary Education**
***Director of Operations***

- As Chief Operating Officer, direct all program operations (loan origination and servicing, customer service, due diligence and collections, special programs and program marketing/outreach) in delivery of an annual loan volume in excess of $80 million and servicing of a portfolio in excess of $560 million.
- Lead the 60-member division through the multi-year implementation of a new FFEL lending program.
- Develop and administer annual division budget and performance plans.
- Collaborate with IT and finance divisions to translate e-commerce advances into operating efficiencies and service enhancements.
- Develop partnership relationships with peer agencies and professional organizations.
- Identify and develop options to increase Alaskans' awareness of the value of higher education.
- Assist the Executive Director with representation of the loan program and outreach goals to the media and the public, the legislature and state executive administration.

**1998 – 2001 Alaska Commission on Postsecondary Education**
***Director of Institutional Relations***

- Administered statutes and regulations governing authorization of postsecondary education in Alaska.

- Managed compliance audit and program participation for 800+ institutions administering Alaska Student Loan funds.
- Developed and implemented program participation and institutional training, which significantly decreased institutional default rates and audit error findings.
- Directed administration of compliance investigations; developed and spearheaded revisions of administrative law streamlining investigative processes.
- Oversaw Veterans' Administration State Approving Agency contract
- Liaison with IPEDS/NCES.
- Represented the agency to the media, developed and implemented institutional public relations strategies, and provided customer service to regulated institutions.
- Managed budget for division and directed activities of four professional and four support staff members.

**1997 – 1998 Alaska Commission on Postsecondary Education**
***Institutional Authorization Program Coordinator***

- Coordinated regulatory program authorizing postsecondary institutions to operate in Alaska.
- Evaluated institutional academic, administrative and financial capacity in order to make authorization recommendations to the Commission.
- Investigated complaints. Negotiated solutions when possible; enforced investigative findings per the Alaska Administrative Procedures Act.
- Evaluated institutional financial soundness and default management activities to determine eligibility to administer Alaska Student Loan funds.
- Developed compliance education resources and presentations for the regulated public.

**1992 – 1997 University of Alaska, Anchorage (UAA)**
***Administrative Manager, Enrollment Services Division***

- Managed administrative activities of 50-member division, including budget, accounting, statistical reporting and analysis, and division compliance with legislation and policy/procedure.
- Coordinated UAA's student petition for refund process and awarded tuition refunds where appropriate.
- Coordinated UAA's Chancellor's Scholarship Program.
- Reported to the Associate Vice Chancellor and acted for her in her absence.
- Chaired/co-chaired university-wide events including commencement and freshman early admit.
- Supervised activities of database manager, programmer/analyst, LAN manager, PC technician, administrative assistant, clerical staff, and 5-40 temporary workers.

**1990 – 1992 University of Alaska, Anchorage (UAA)**

***Support Services Manager, Registration Office***

- Hired as assistant for budget and accounting; promoted within one year to manager of four-person unit.
- Coordinated registration information dissemination, including response to over 76,000 annual enrollment inquires.
- Managed administration of university facilities scheduling, catalog/schedule printing and distribution, registration budget and management reporting activities.
- Streamlined "WolfLine" help desk program for students using new Interactive Voice Response registration system.
- Redesigned catalog distribution system to increase sales revenues by 35%.
- Designed facilities rental price structure resulting in revenues exceeding budget by 43%.

**1985 – 1989 Boston University, Overseas Graduate Program**

***Field Registrar***

- Coordinated Boston University's overseas graduate programs throughout 7th Army Training Command's five military bases in West Germany.
- Developed remote registration sites and administered degree programs (performed marketing, faculty recruitment, student registration and advising, academic policy interpretation, and academic record keeping functions; coordinated with main campus, VA and local military officials).
- Managed budget in which revenues were earned in US dollars and expenditures made in German currency.

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## CERTIFICATIONS:

Certified Internal Auditor (CIA)
Certified Government Auditing Professional (CGAP)
CLEAR Certified Investigator

## EDUCATION:

Post-graduate Research in Business Administration, Touro University
1987 Master of Arts, Business Administration, Boston University
1983 Bachelor of Arts, English, *magna cum laude*, Barry University
1981 Associate of Arts (with Honors), Miami-Dade Community College

**SHEILA COREY**
**Division Operations Manager/Information Technology Manager**
State of Alaska Department of Education and Early Development
801 W. 10th Avenue • Juneau, AK 99801
(907) 465.8668 • sheila.corey@alaska.gov

***SUMMARY OF SKILLS:***

- 25+ years of managerial and technical experience in information technology.
- Expertise in public and private sector environments building broad-spanning statewide systems as well as local business systems.

***MANAGEMENT EXPERIENCE:***

- Mana**g**ed and lead a team of ten computer professionals, project managers, and subordinate supervisors in three locations throughout the state. Assign projects and workloads; evaluate work progress and staff performance; handle disciplinary matters; coach and mentor; develop training plans and build a positive team culture. Encourage staff to communicate professionally and cooperatively with colleagues, upper management, and all end users. Significant positions emphasizing these skills include: Technical Lead for the State of Alaska, Department of Revenue, Treasury Division Technology Systems; Manager for the City and Borough of Juneau (CBJ), Geographic Information System (GIS) Project; IT Manager for the State of Alaska, Department of Environmental Conservation; and most recently, serving as the IT Manager and Division Operations Manager for the State of Alaska, Department of Education and Early Development.

***PLANNING AND BUDGETING EXPERIENCE:***

- Identify, prioritize, plan, schedule, and manage data processing projects. Communicate with upper management on budget, workload, and project status, and working closely with upper management to ensure department IT staffing and budgetary needs are met, both short and long-term. Develop RFP's, task orders, and other procurement documents for IT services and products such as databases, software, hardware, or data processing systems. As Department IT Manager, plan and manage the budget for the Information Systems section and various department-wide

- IT projects. As a City and Borough GIS Manager, managed various IT projects, including writing task orders, monitoring vendors, tracking project costs, due dates and change orders. As the State of Alaska Division of Elections Liaison, managed and conducted long-term planning for Elections Reapportionment arc/Info GIS and advised the Director on long-term budget scenarios for the project. Remain current on software and hardware trends, IT enhancements and the costs and benefits associated with potential changes to current systems, using on-line resources, colleagues and trade journals.

***LIAISON EXPERIENCE:***

- Experience meeting regularly with upper management and program managers to inform them on IT projects, planned IT projects and general administrative projects affecting the entire department. Department point-of-contact for IT functions to workgroups, committees, and to enterprise data processing management within the State of Alaska. Work with a variety of program managers and department staff in the formation of statewide policies and procedures. Cooperatively developed Department IT Plans and quarterly IT project status reports with program and project managers. Assist Division staff in preparation of waivers to department and state IT standards, as needed and as appropriate. At the Department of Environmental Conservation (DEC) and Department of Education, led department data integration efforts, working closely with other Division staff and consulting with users to determine special application and data needs.

***ADMINISTRATIVE EXPERIENCE:***

- As an administrator, work cooperatively with upper management to develop and monitor IT budget, perform personnel actions and comply with procurement codes and regulations. Work closely with the Department's Budget Analyst to develop CIP requests for funding of IT projects, and develop and monitor IT standards, policies and procedures. As a grant administrator at DEC, determined what federal grants were available, applied for federal grant money, managed grant funds and reported on federal grant projects.

***TECHNICAL EXPERIENCE:***

- Experience performing system administration for IBM, Solaris and Novell networks. Select and implement new Helpdesk solutions for two departments; administered the helpdesk and responded to helpdesk requests. Wrote and documented data conversion programs and user applications; designed GIS databases and developed GIS Data Dictionaries. Installed OS and application software, created user network and application accounts and performed file system management and backups. Performed data translations for export and import to and from various platforms including Windows, Mac, and UNIX. As a Reapportionment Liaison and Programmer for the Division of Elections, designed, produced, and distributed custom election district map products.

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**EDUCATION:**

| | |
|---|---|
| Bachelor of Arts Degree, Criminal Justice | *University of Alaska, Anchorage* |
| Associate of Arts Degree, Psychology | *University of Alaska, Anchorage* |
| Associate of Arts Degree, Corrections | *University of Alaska, Anchorage* |

**KENNETH DODSON**
Alaska Commission on Postsecondary Education
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***SUMMARY OF SKILLS:***

- 20+ years of senior IT leadership experience
- Extensive program and project management and IT management consulting, including leading the development, implementation and maintenance of Alaska's Higher Education Loan Management System (HELMS).
- Design, development and supervision of business analysis, programming and related IT positions and business units.
- Design and development of business intelligence reporting systems and related protocols.
- Strong technical and applied research skills. Excellent Understanding of business and IT strategy.
- Ability to work effectively under pressure and with constantly changing priorities and deadlines.
- Able to apply knowledge of privacy and confidentiality legal and regulatory requirements to all areas to ensure compliance with FERPA.
- Knowledge of advanced principles and techniques of complex computer operations, platforms, and networks.
- Preparation and administration of multimillion dollar IT project budgets.

***EXPERIENCE:***

**1994 – Present Alaska Commission on Postsecondary Education**
***Director of Information Support Services***

- Administer the operation of the Information Support Services division for the state's higher education agency.
- Responsible for the development and support of all electronic services, including the Higher Education Loan Management System (HELMS) mainframe application, which services agency's nearly $600 million loan portfolio.
- Manage IT and capital projects with an annual budget in excess of $6 million.
- Develop and deploy business analysis unit to oversee servicing system conversion and subsequent development and deployment of online financial aid processing system.
- Configure and maintain agency's operating systems, hardware and software. Senior manager responsible for system security.

- Identify opportunities for improving information systems, methods and procedures; identify and develop improvements to existing computer systems, applications and hardware; monitor the status, performance and quality of ongoing and in-progress projects, systems and services.
- Develop annual goals and provide long-term planning for the agency's information management and business intelligence systems.
- Attend and participate in training meetings, staff meetings, and related activities; attend workshops, conferences, and seminars to increase professional knowledge.
- Develop, implement and monitor Information systems policies and controls to ensure data accuracy, security, and legal and regulatory compliance,
- Develop and deploy Process Analysis System to make project management and efficiency analyses key components of the agency's culture.
- Responsible for oversight of all information requests for the unit as well as maintenance of the unit's information published on the agency's Internet and Intranet sites.
- Lead programming and analysis team to implement process automation allowing agency to add six new financial aid programs, totaling over $40 million in new disbursements annually, without having to add new staff or increase operating budget.
- Oversee project managers; monitor contractors' work; compile and communicate ISS division's quarterly report to Commission.
- Past-president and current member of HELMS User Group, a consortium of education loan lenders and servicers.

**1990 – 1994 UNIPAC Service Corporation (Denver, CO)**

***Information Services Supervisor***

- Maintained availability of system, including enhancements and system upgrades installation, system support, testing, debugging, and installation of business application programs.
- Developed and implemented a full system integration test environment to coordinate and test all enhancements to the Student Loan Servicing System prior to moving to production.
- Supervised the team responsible for all compliance required enhancements to the system.
- Leadership role in development of new functionalities.

**1988 – 1990 UNIPAC Service Corporation (Denver, CO)**

***Programmer***

- Conceived, designed and tested logical structures to improve company-specific needs.

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**EDUCATION:**

1988 Computer Information Systems Certificate, Tucumcari Area Vocational School

**CAROL DRUYVESTEIN**
Alaska Commission on Postsecondary Education
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***SUMMARY OF SKILLS:***

- 12 years of analysis and project management experience.
- Responsible and accountable for the operation of the Business Analyst Unit within the Information Support Services (ISS) Division.
- Responsible for oversight of project management, business analysis, business design and model office test plans and user testing.
- Strong command and understanding of established project management procedures.
- Able to research and analyze complex problems, identify their basic elements and describe them as a series of logical steps.
- Possess a detailed understanding of student loan servicing, regulations and statutes, institutional servicing history, system anomalies, data processing concepts.
- Participant of management team for conversion to Higher Education Loan Management System (HELMS), a mainframe application that services state's postsecondary institution loan portfolio.
- Participant of management team during agency's expansion to become a lender in the Federal Family Education Loan Program (FFELP).
- Avaya PDS 9.0 and 12.0 Supervisor Training and Avaya PDS Administration Manager 3.0 training.
- Strong interpersonal skills and adept at diplomatically facilitating discussions with cross-functional business teams, technical staff and third-party stakeholders.
- Ability to clarify business and technical requirements and define project scope and goals.
- Skilled in design, development and implementation of workflow processes and project lifecycle utilizing Microsoft Visio, SharePoint and Adobe Acrobat.
- Strengths in operations development, strategy planning and developmental processes.

***CURRENT RELEVANT EXPERIENCE:***

**1997 – Present Alaska Commission on Postsecondary Education**

***Business Analyst Officer***

- Directly and indirectly supervise and monitor the transactions and activities prepared by other administrative personnel.

- Analyze business needs/requirements, incorporating regulatory changes, and re-engineering processes.
- Assist in the design and testing of ad hoc reports and system screen displays to meet the needs of business users.
- Lead the accurate and thorough design of test plans, creation and execution of test scenarios, and review of test data during system upgrades to ensure outcomes are as expected.
- Analyze priorities and workloads. Assist internal business users and technical teams to define business strategy and support operational processes.
- Strategize project scoping and specifications documents using agency methodology templates to clearly communicate the project roadmap.
- Recommend enhancements or changes to data processing programs to improve accuracy and efficiency.
- Coordinate the testing and business implementation of loan servicing system software upgrades and conversion.
- Map business requirements for process enhancements and translate these requirements into functional specifications.
- Prepare project initiation documents, including functional requirements.
- Serve as a contributing member of the agency's Extended Management Team and other ad hoc committees, as necessary.
- In charge of recruitment, training, evaluation and direction of unit staff.

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**EDUCATION:**

1987 Bachelor of Science, Zoology Oregon State University, Corvallis Oregon

**SIDNEY ROGERS FADAOFF**
Alaska Department of Education and Early Development
801 W. 10th Avenue, Suite 200 • Juneau, AK 99801
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***SUMMARY OF SKILLS:***

- 20+ years of Alaska civil litigation, collection, tax, real estate syndication, corporate law experience. Experience and knowledge in interpreting California and Alaska court rules, federal court rules, statutes, administrative regulations, bar ethics manuals, City and Borough of Juneau Ordinances, and possess legal research skills.
- Six years experience in the oil industry on the North Slope and California in the areas of administration, cost & scheduling/engineering, purchasing, and logistical support.
- Eight years experience in mid-management providing expertise in budgets, cost & scheduling, engineering, purchasing, state and federal grant writing and reporting, equipment logistical support, and project management.
- Public speaking skills, management and administrative/supervisory experience in a variety of settings which have provided experience and knowledge to undertake management responsibilities.

***EXPERIENCE:***

**August 2006 – Present State of Alaska, Department of Education and Early Development**
***Program Coordinator/Project Manager***

- Project management of a four-year, $3.5 million federal grant to build a management information system comprised of a data warehouse, web base report portal, schools interoperability framework (SIF) linking 54 school districts to EED for data collection. Responsibilities for this three-phase project included: budget control and accountability; project management; monitoring contract performance; tracking deliverables; negotiating change orders; reviewing contractor invoices; purchase orders; drafting Request For Proposals complying with State of Alaska purchasing regulations and procedures; prepare and present project status reports and reporting to federal government and EED executive management; presentations to conference attendees; and provide project progress reports in response to legislative information requests. Plan, coordinate and conduct meetings of large stakeholder groups and various task forces. Plan, facilitate and guide data governance committee, draft policies and make procedure recommendations. Coordinate external and internal stakeholders and train them on new IT solutions. Present project status; demonstrate solutions; share best practices and lessons learned at data and education conferences, principals and superintendent conferences, and stakeholder group meetings.

**September 2005 – August 2006 State of Alaska, Department of Health & Social Services**
***Budget Analyst III***

- Budget formulation, review and analysis. Assisted assigned divisions with development of prospective year's budget. Developed, reviewed, disseminated, analyzed and interpreted policies, procedures, and instructed divisions in the preparation of detailed operating budgets. Conducted research, management analyses, solutions development and assigned administrative detail. Provided technical assistance concerning management concepts, organizational review, reporting relationships, and work flow as required by executive direction or program activity. Provided staff assistance to the Division Director, Commissioner, Budget Chief and other senior executive and administrative staff on special and general assignments. Reviewed, edited and developed information provided by administrative and program managers and staff to support information requests from legislature. Project management including develop, manage, and bring to completion special projects as assigned; develop project planning documents, proposals, and reports; coordinate project activities with department personnel; track progress and coordinate changes in schedules; and ensure completion of project goals. Utilized working knowledge of performance management and State of Alaska performance measure process, development, tracking and reporting. Extensively designed and used spreadsheets; developed accounting structure; fulfilled budgetary duties and legislative budget processes.

**August 2004 – September 2005 Catholic Community Services/Southeast Senior Services**
***NTS Regional Coordinator***

- Managed non-profit senior nutrition, transportation and support services (NTS) programs in the communities of Sitka, Kake, Angoon and Hoonah, Alaska. Responsible for developing and managing budgets for these programs (over $700,000); evaluated, planned, developed, analyzed and monitored serviced and evaluated distance site staff in each community; developed grant proposals; promote programs through collaborative efforts with municipal officials, clients, agency staff and other social service providers; developed and distributed marketing materials, participated in various public events and oversaw fundraising in each community.

**June 2002 – January 2004 Calista Corporation**
***Executive Administrator***

- Liaison to corporation's private industry insurance broker; developed, oversaw and implemented insurance policies for Calista and 13 subsidiary corporations located in all 50 states and Guam. Managed, administered, facilitated, coordinated and monitored real estate, automobile and property damage insurance claims in excess of $1M, small claims collection and real estate foreclosure litigation. Ensured Calista and

subsidiaries' compliance with state corporate regulations. Assisted CFO in preparing audited financial statements, budget development, 7(i) and 7(j) fund accounting, preparation of Small Business Association 8(A) applications, federal grant reporting and accounting in connection with funding for village capital projects and coordinating and implementing annual scholarship golf tournament. Reviewed federal military contracts, maintained contract files; assisted contract administrator with review of contracts and changed orders for compliance.

**May 1992 – May 2002** **Gruening & Spitzfaden, APC**
***Paralegal/Office Manager***

- Oversaw, managed, administered and provided paralegal services to a four-attorney office law firm specializing in corporate, business, civil litigation, real estate, labor, criminal, family/domestic, workers' compensation, estate planning and administrative law. Hired, trained, evaluated and supervised support staff.

**1996 – 1998 *and* 2008 – Present** **Alaska Youth Choir**
***Administrator/Board of Directors***

- As Administrator: Organize, administered and managed nonprofit choir including administration duties, marketing and public relations; radio interviews; organized and produced concerts; oversaw special events; marketing; design; proof-read and coordinated program and brochure layout and printing; grant writing and reporting; oversaw scholarship award process and selection, and administered community outreach. Collaborated with other Juneau arts organizations for joint performances and fundraising events. Developed and administered budgets for annual tour, special events and concerts. Uniform selection, purchasing, disposition, and assignments.
- As Board Member: Served as Secretary on the Board of Directors and on the Board of Trustees for the Grace Akiyama Scholarship Fund from 1996-1998. Served as board member in 2008 and board president, commencing in 2009.

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**EDUCATION:**

2007 Master of Business Administration, University of Alaska, Southeast (UAS)
2004 Bachelor of Liberal Arts (with law and social sciences emphasis), *cum laude*, UAS
1995 Associate of Arts Science in Paralegal Studies, *cum laude*, UAS

**JEFF HADLAND**
Alaska Department of Labor and Workforce Development
P.O. Box 25501 • Juneau, AK 99802-5501
(907) 465.6031 • jeff.hadland@alaska.gov

***SUMMARY OF EXPERIENCE:***

- 29 years of Alaska economic and demographic research, program management and supervisory experience with the Alaska Department of Labor and Workforce Development (DOLWD), Research and Analysis Section.
- Supervise state funded and special project research for the DOLWD with 17 professional and technical staff, including State Demographer and State Data Center Program coordinator.
- Manage programs with a budget in excess of $1.7 million. Projects are funded by a variety of state and federal customers including: Alaska Workforce Investment Board, DOLWD Employment Security, Alaska Housing and Finance Corporation (AHFC), Bureau of Labor Statistics (BLS), Alaska Department of Health and Social Services (H&SS), Denali Commission, U.S. Census Bureau, University of Alaska, and U.S. Department of Labor, Employment and Training Administration. Designed and built several major research projects from the "ground up" including Occupational Database program, Wage Record Research program, Housing Market Research program and Training Program Evaluation and Eligible Training Provider system.
- Served on several national committees studying the use of wage records for performance evaluation and research purposes including: Wage Record Interchange System Technical Advisory Committee, U.S. Census Local Employment Dynamics (LED) Steering Committee, and DOLWD Employment Dynamics Partnership.
- Provide technical assistance to Governor's Office, Legislature, Commissioner's Office, Attorney General's Office and other data users on a regular basis.
- Provided bill analyses, interpretations of law and regulation, and court-ordered depositions in legal cases relating to resident hire.
- Lifelong Alaska resident with excellent understanding of economic issues that affect all parts of Alaska.

***TECHNICAL AND MANAGEMENT SKILLS:***

- Project Design and Management-Expert with detailed understanding of Alaska data resources including published and unpublished data. Ability to quickly identify and extract information from micro-data sources, meld with published data and provide narrative analysis for the intended audience to efficiently and effectively answer user questions.

- Experienced in managing staff. Dealt with complex personnel issues including terminations, reprimands, and sexual harassment issues. Have been on both the union and management side on employee disputes.
- Expert in SPSS, Statistical analysis software. Quickly able to extract and summarize employer and employee micro-data using statistical analysis software.
- Proficient in Microsoft Office products including Word, Excel, Access and PowerPoint.
- Experienced in Survey Research Design. Fully proficient in sample selection (including sample size required to achieve desired level of reliability), survey form design, data collection, analysis and reporting.
- Experienced in use of Geographic Information Software (GIS) and in Alaska's electronic geography.
- Trained in the use of IMPLAN, economic impact analysis software
- Nationally published technical writer.

## *CURRENT POSITION RESPONSIBILITIES*

**May 2002 – Present State of Alaska, Department of Labor and Workforce Development**
***Economist IV/State Programs Supervisor, Research and Analysis Section***

- Training program performance analyses: employment and earnings outcomes of Alaska education and training programs, including Statewide Training and Employment Program (STEP); Workforce Investment Act (WIA) programs and University of Alaska.
- Occupational Database and Wage record research including special worker group analyses (older workers, youth, and health care workers); distressed community research; new hires; and longitudinal occupational analyses.
- Demographic research and population studies programs, including population estimates and projections for Alaska and redistricting support
- Supervision and management of State Data Center Program: Federal/State cooperative program for dissemination of census data
- Supervision and management of Housing Market Research Program: Lender and rental survey data for AHFC
- Resident hire research
- Unemployment Insurance Profiling Model
- Fisheries and fish processing employment research

***RECENT PUBLICATIONS AND PRESENTATIONS***

- "Alaska's 2010 Census Promotion Effort" and "Meeting Customer Needs with Economic Data". Presentations at the National State Data Center Annual Training Conference, Suitland, Md. October 2009.
- "Denali Distressed Community List Update-2009 Report", May 2009.
- "Denali Commission Report-2008. Application of the 2004 Surrogate Standard that Identifies Distressed Alaska Communities." April 2009.
- "Apprenticeships in Alaska: A measurable path to employment success", Alaska Dept. of Labor and Workforce Development, February 2009.
- "Nonresidents Working in Alaska-2007", Alaska Dept. of Labor and Workforce Development, January 2009.
- "Local Economic Information from the Alaska Department of Labor and Workforce Development". Presentation at the Leading Change Conference, Anchorage, AK, October 2008.
- "Wage Records", Alaska Economic Trends, Alaska Dept. of Labor and Workforce Development, June 2005.
- "Findings from a Rural Labor Market Survey of Brevig Mission". April 27, 2005.
- "Ten Year Industry Forecast", Alaska Economic Trends, Alaska Dept. of Labor and Workforce Development, September 2004.
- "Alaska's 'Brain Drain': Myth or Reality?" Monthly Labor Review, DOL/BLS, May 2004.
- "Alaska's Construction Industry-Worker Characteristics and Supply" and "Nonresidents Working in Alaska's Construction Industry". Presentations at Alaska Construction Labor Summit. January 2004.
- "Alaska's Occupational Database". Presentation at National Wage Record Symposium, Minneapolis, MN. April 2003.

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**EDUCATION:**

Bachelor of Arts, Economics University of Washington Seattle, WA

**ERIK A. MCCORMICK**
Alaska Department of Education and Early Development
801 W. 10th Avenue, Suite 200 • Juneau, AK 99801
(907) 465.8686 • erik.mccormick@alaska.gov

***SUMMARY OF SKILLS:***

- Wide-ranging experience in program and project management, including the development and maintenance of information systems, high-stakes student assessment and data management.
- Extensive management and supervisory experience, including staff development and training.
- Developed reporting systems and reporting protocols.
- Designed statewide accountability data system validation rules.
- Coordinated with legislative auditors for federal programs.
- Strong technical and applied research skills.
- Knowledge of FERPA and ability to apply law to data systems.
- Excellent interpersonal skills with the ability to relate well with clientele, staff and management.
- Proficient in MS Office Suite, MS SQL Server 6.5 & 7.0, and SPSS 11.5.

***EXPERIENCE:***

**September 2008 – Present Alaska Department of Education and Early Development**
***Director of Assessments, Accountability and Student Information***

- Responsible for the comprehensive statewide system of assessment, and the development and implementation of the state's accountability and assessment plans for No Child Left Behind (NCLB). Responsible for the overall supervision of the Department's Assessment and Accountability Office. This position also involves standing reports and presentations to the Alaska State Board of Education & Early Development, numerous presentations and public speaking engagements at the state and national level, presentations for school district personnel, state legislative committees and interviews with members of the media. The role involves significant interaction with the IT section of the department to ensure data is collected, stored and appropriately reported to the state and federal government as well as to the public. Responsibilities include development of RFPs related to assessments; contract negotiations with assessment vendors; ensuring that all assessments meet the requirements of state and federal statute, and gain approval from the U.S. Department of Education all assessment systems, including changes to the system, through a rigorous evidence based peer approval process.

**May 2002 – September 2008 Alaska Department of Education and Early Development**
***Research Analyst IV***

- Responsible for planning and oversight of all data-related activities including, but not limited to: unit work plan, maintenance, security and reporting of aggregate and disaggregate assessment results; federal programs data; Common Core Data (CCD) including classified, certified and paraprofessional staff accounting, high school graduates, dropouts; education directory information and rolodex database. Responsible for the implementation of the NCLB reporting provisions. Served as the state Report Card Coordinator, PBDMI/EDEN Coordinator, OASIS project manager, Alaska CCD Non-Fiscal Coordinator; Alaska Student Identification System (ASIS) Coordinator, state At-Risk Coordinator, and as the Chair of the statewide Data Management Committee. Served on the National Race/Ethnicity Data Task Force. Responsible for oversight of all information requests for the unit as well as maintenance of the unit's information published on the Department's Internet site. Determine district and school AYP levels and district or school improvement designations.

**June 1999 – May 2002 Alaska Department of Education and Early Development**
***Research Analyst III***

- Served as the lead Assessment Analyst at the Department during the transition to a "high-stakes" assessment and accountability system. Responsible for production of all statewide, district-level, school-level and student-level data for distribution. Designed and created all assessment databases for the Statewide Assessment System. Coordinated with testing vendor to obtain raw assessment data files. Monitored and trained district personnel to ensure the protection of individual student confidentiality under FERPA. Designed and distributed a student reporting template for all of the initial spring 2000 individual exam results reports throughout the state. Served as the Federal Programs Data Manager. Responsible for maintaining and submitting all four Special education data collections as required by OSEP, Part B, under the authorization of IDEA. Conducted annual training sessions for Special Education directors at their conference. Responsible for collecting, maintaining, and reporting all secondary student data required under the Carl Perkins legislation for vocational education programs. Served as a liaison between the University of Alaska and the Alaska Department of Labor and Workforce Development to share data and develop longitudinal data studies. Served as Online Alaska School Information System (OASIS) Project Manager and as the State Report Card Coordinator.

**February 1998 – June 1999 Alaska Department of Education and Early Development**
***Research Analyst II***

- Responsible for the statistical analyses of student achievement data resulting from the multiple assessments included in the Alaska Student Assessment System. Analyses and reporting of norm-referenced data (California achievement Test, version 5). Developed a data system for the Alaska Writing Assessment. Served as a regular member of the OASIS project development team, including designated activities related to the multi-year plan to design, pilot and implement OASIS SQL databases and electronic data transfer systems. Assisted in development of the reporting cycles and annual work plan for the Office of Standards, Assessment and school Information.

**October 1997 – February 1998 Alaska Department of Education and Early Development**
***School Finance Specialist (Interim position)***

- Analyzed student data school district funding data, ensuring state regulations and requirements were being followed. Determined district allocations and made recommendations for approval and distribution of funds. Prepared budget documents to detail formula calculations, audited school financial records to analyze funding requirements and ensure compliance with program requirements. Wrote, negotiated and administered specialized contracts and reimbursable service agreements for school services.

**March 1995 – September 1997 Alaska Department of Education and Early Development**
***Statistical Technician II***

- Collected, compiled and reported education statistics related to federal programs: Chapter 1/Disadvantaged, Migrant, Special Education and Vocational education. Designed reporting forms and identified student-level data needs. Provided technical assistance to school district personnel. Provided general statistical support to the entire Department.

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## EDUCATION:

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| 1994 | Bachelor of Arts, Economics | University of Arizona |
| 1991 | Associate of Arts, Liberal Arts | Lassen College |

**JOANN RIESELBACH**
Alaska Commission on Postsecondary Education
P.O. Box 110505 • Juneau, AK 99811-0505
(907) 465.6779 • joann.rieselbach@alaska.gov

***SUMMARY OF SKILLS:***

- Project management, with emphasis on facilitation of project movement through departments, agency divisions, and externally contracted resources.
- Statistical research, data analysis and reporting, and statistical manipulations.
- Interpretation and application of federal and state statutes, regulations policies and procedures in diverse and complex situations.
- Program management and advocacy.
- Experienced communicator and collaborator, with demonstrated ability to perform with a high degree of accuracy and quality.
- Strong ability to build and maintain interpersonal professional and collegial relationships with personnel internal and external to the agency.
- Able to apply sophisticated administrative support skills
- Testing, debugging and operational/internal control documentation of new systems and software
- Proficient with Microsoft office programs.
- Demonstrated ability to prioritize and work independently in a multi-tasking environment.

***EXPERIENCE:***

**03/07-Present Alaska Commission on Postsecondary Education**

***Program Coordinator***

- As agency liaison, act as primary contact with postsecondary institutions to resolve technical issues and problems; research problems with operations vendors to find resolution; develop and maintain institution profiles and loan processing preference; provide training to financial aid staff; travel, as needed, for technical training visits; provide interpretation of applicable statutes and regulations.
- Coordinate state needs-based education grant program and maintain operational expertise in use of software management program; operations liaison with agency finance and IT staff, institutions, and contracted software programming vendor; complete annual federal grant participation reporting; provide training to school staff.
- Manage agency-wide projects to ensure timely project completion; analysis of project-related issues; documentation of project development and implementation.

- Assist with management of agency web sites; work as site coordinator for statewide education activities.
- Develop procedures, forms and letters.
- Coordinate unit statistical reporting activities.

**2/05-02/07 Alaska Commission on Postsecondary Education**
***Claims Specialist***

- Processed federal and state education loan claims including researching, documenting, monitoring and reporting on death and disability claims on federal and alternative loans.
- Assisted in the implementation of third-party collection vendor processing and functioned as liaison between agency and contractor.
- Worked with senior manager to improve upon existing processing efficiencies.

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**EDUCATION:**

May 1989 B.S. Fisheries Science, *cum laude* University of Alaska, Fairbanks

**JIM WEIDEMAIER**
Alaska Commission on Postsecondary Education
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(907) 269.7987 • jim.weidemaier@alaska.gov

***SUMMARY OF SKILLS:***

- 19 years of analysis experience; 15 years of project management experience; 24 years of programming experience.
- Ability to organize, plan and manage projects to ensure timely completion and a quality product.
- Skilled at each phase of the development methodology process including, analysis, design, construction, testing, implementation, and follow-up.
- Proficient at the interview process to understand the current environment and ascertain new system requirements.
- Experience with data flow analysis with the ability to determine proper organization of information systems.
- Able to create and document technical designs and write code based on a conceptual description of the business logic.
- Knowledge of good programming practices to create efficient and maintainable code.
- Skilled at creating and executing test plans to ensure data integrity and system availability.
- Propensity toward planning to ensure smooth implementation of projects into the production environment.
- Good verbal and written communication skills to keep technical team and client base informed.
- Experience with VB.Net and SQL Server.

***EXPERIENCE:***

**1994 – Present Alaska Commission on Postsecondary Education**
***Programmer/Analyst V***

- Lead programmer on projects to maintain and enhance agency's processing system; programmer on peripheral projects utilizing different platforms, languages, and data storage mediums to augment the main system.
- Assess through technical systems analysis the information needs of the Commission.
- Provide technical support to agency users; evaluate user request for new or modified program(s).

- Monitor the status, performance, and quality of ongoing and in-progress projects.
- Help implement and support continued use of a project development methodology at the agency.
- Work with third parties to set-up automated FTP processes to ensure data is sent in an efficient and secure manner.
- Responsible for setting up and administering a test environment to perform module and system level testing.
- Attend and participate in training meetings, staff meetings, and related activities; attend workshops, conferences, and seminars to increase professional knowledge.
- Document, implement and monitor standards to ensure, quality, security, data integrity, and regulatory compliance are maintained in the programming environment.
- Information systems representative on the business continuance planning project.
- Debug and resolve any code or data related problems.
- Department manager back-up.
- Leading role in major conversion of the agency's primary processing system to newer more modern system.

**1987 – 1994 UNIPAC Service Corporation (Denver, CO)**

***Programmer/Analyst***

- Lead on a project to develop and implement a project management methodology at company.
- Resource on Unistar project, a rewrite of the UNIPAC student loan processing system.
- Developed definitions and standards for the quality assurance and system testing environment.
- Participated on the quality assurance team and new hire interview process.
- Acted as a lead programmer and as a programmer on projects to enhance the UNIPAC processing system.

***RECENT COURSEWORK***

- Microsoft Certified Class Mastering Visual Basic Fundamentals

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**EDUCATION:**

1985 Bachelor of Science, Business Information Systems
*University of Colorado at Colorado Springs*

**JEFF WOCKENFUSS**
Alaska Commission on Postsecondary Education
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(907) 269.7984 • jeff.wockenfuss@alaska.gov

***SUMMARY OF SKILLS:***

- 20 years of analysis experience; 15 years of project management experience.
- Knowledge of advanced principles and techniques of complex computer operations, platforms, and networks.
- Experience with data flow analysis with the ability to determine appropriate enhancements and reorganizations of information systems.
- Extensive knowledge of programming techniques that allow for the planning, development, and testing of computer system upgrades.
- Able to convert project specifications into sequence of detailed instructions and logical steps for coding into applicable computer language, applying knowledge of computer programming techniques and computer languages.
- High degree of technical expertise, including ability to work with multiple platforms and complex conversions or new development projects.
- Debugging capabilities, recreating steps taken by user to locate source of problem and rewriting program to correct error(s).
- Able to create and document conceptual design and write code based on a conceptual description of the business logic.
- Application programming.
- Can coordinate development or changes to database architecture and data dictionary.
- Specialized experience in VSAM databases; SQL Server databases; JAVA programming; XML; COBOL; CICS; and XML Schema development. Internet related technologies such as ASP.Net and HTML.

***EXPERIENCE:***

**March 1995 – Present Alaska Commission on Postsecondary Education**
***Programmer/Analyst V***

- Assess through technical systems analysis the information needs of the Commission.
- Plan implementation strategy, evaluate information systems, tools and data feed facilities.
- Provide technical support to agency users; evaluate user request for new or modified program(s).
- Analyze, review, and alter program(s) to increase operating efficiency or adapt to new requirement(s).

- Configure and maintain agency's operating systems, hardware and software.
- Identify opportunities for improving information systems, methods and procedures; review with senior management team; recommend and develop improvements to existing computer systems, applications and hardware; monitor the status, performance and quality of ongoing and in-progress projects, systems and services.
- Attend and participate in training meetings, staff meetings, and related activities; attend workshops, conferences, and seminars to increase professional knowledge.
- Develop, implement and monitor Information systems policies and controls to ensure data accuracy, security, and legal and regulatory compliance,
- Resolve programming problems and determine appropriate solutions.

**1992 – 1995 UNIPAC Service Corporation (*Denver, CO*)**
***Applications Programmer***

- Maintained availability of system, including enhancements and system upgrades installation, system support, testing, debugging, and installation of business application programs.
- Developed an Automated Clearing House Electronic payments application for students making payments over the ACH system.
- Received certification as an Accredited ACH Professional (AAP).

**1989 – 1992 Electronic Data Systems *(Dallas, TX)***
***Systems Programmer***

- Completed Systems Engineering Development Program.
- Supported Bank One General Ledger system.

***RECENT COURSEWORK:***

- Visual Basic.net
- Programming Concepts (Java)
- Object-Oriented Programming (VB.Net)
- Web Development in .Net environment (ASP.net)

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**EDUCATION:**
1987 Bachelor of Arts, Computer Science Chaminade University

# Project Narrative

## Project Narrative - Appendix C Current Status of State's Longitudinal Data System

Attachment 1:
Title: **Appendix C - Alaska's ANSWERS** Pages: **4** Uploaded File: **G:\workgroups\SLDS Project\Final Versions\Appendix C_Alaska's ANSWERS.pdf**

APPENDIX C
Alaska's ANSWERS

| Requirements | Description of Current Status of Requirement | Project-Relevant Outcomes |
|---|---|---|
| ***SEVEN CAPABILITIES*** | | |
| The system must enable States to examine student progress and outcomes over time, including students' preparation to meet the demands of postsecondary education, the 21st century workforce, and the Armed Forces. Such a system must include data at the individual student level from preschool through postsecondary education and into the workforce (e.g., employment, wage, and earnings information). | There are currently no ongoing linkages among P-12, postsecondary, and workforce in order to examine student progression and employment and other educational outcomes. | Create and deploy methodology to match P-12 student-level data to University of Alaska (UA) records and Department of Labor (Labor) UI records, linked using Department of Revenue Permanent Fund Dividend (PFD) Division data. Outcomes will include consideration of how this linkage will be used in a report generation tool and how data will be used to improve instruction and be useful for parents and teachers. |
| The system must facilitate and enable the exchange of data among agencies and institutions within the State and between States so that data may be used to inform policy and practice. Such a system would support interoperability by using standard data structures, data formats, and data definitions to ensure linkage and connectivity among the various levels and types of data. | The current environment allows for data exchange between districts and the Department of Education and Early Development (EED) facilitated via School Interoperability Framework (SIF).There is no statewide postsecondary linkage nor are data linked with other agencies or other states. | Create and deploy methodology to match P-12 student-level data to UA records, linked using PFD data. This will be a fundamental component, undergirding all grant-related activities. Outcomes additionally include linkages to national databases such as the National Student Clearinghouse, and exploration of opportunities to participate in collaborative efforts such as the proposed WICHE multi-state data compact. |
| The system must link student data with teachers, i.e., it must enable the matching of teachers and students so that a given student may be matched with the particular teachers primarily responsible for providing instruction in various subjects. | Currently there is not a formalized mechanism to consistently link individual students to individual teachers. | Capture required teacher identifiers as part of the transcript data collection system deployed via this grant-funded project, enabling the linkages between teachers and students. |
| The system must enable the matching of teachers with information about their certification and teacher preparation programs, including the institutions at which teachers received their training. | Currently, there are no linkages between teacher data and the preparation programs in which the teachers participated. | Teacher training information already held by EED will be migrated into Alaska's SLDS so that teaching outcomes can be accurately associated with teacher training programs. |
| The system must enable data to be easily generated for continuous improvement and decision-making, including timely reporting to parents, teachers, and school leaders on the achievement of their students. | Currently, there is limited capability to provide reports to teachers and educational leaders related to P-12 student achievement. Parents need to have access to information to find reporting indicators such as test results, dropout rates, highly qualified status for teachers, Adequate Yearly Progress (AYP) status, and school calendar information along with other P-12 elements. | Build a system of secure standard reports and robust report generation tools that protect personally identifiable information, with appropriate data audits and quality checks to ensure accuracy and reliability. Ensure Web-based access to differentiated user roles with different security levels. This will be initially defined and established by this grant, but a process for continual report generation will be put in place to be responsive to the ongoing reporting needs of Alaska. |

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| The system must ensure the quality and integrity of data contained in the system. | Currently, system-generated reports developed as part of the Unity Project show warnings and fatal errors as business rules and edit checks are applied. The warnings list records and issues that need to be reviewed but not necessarily edited. Fatal errors are events that are required to be addressed prior successful submission. | This grant will allow for the linkages of a variety of new source data systems, so the reliability of data linkages along with conformed definitions of the data need to be audited and documented. This data audit process will ensure the ease of use and the validity of the new data compilation. This will also be an opportunity to develop well-documented and defined metadata, as well as the ability to build risk analyses and internal controls at each key point, to ensure maximum efficiency, security, integrity, and reliability. |
| The system must provide the State with the ability to meet reporting requirements of the Department, especially reporting progress on the metrics established for the State Fiscal Stabilization Fund and the reporting requirements included in the EDFacts data collection and reporting system. | A primary goal of the original Unity Project was to fulfill the reporting requirements for the EDEN/EDFacts reporting system. Currently, EED is capable of meeting all of the EDFacts reporting requirements for AYP; Assessment results data for Reading & Writing (Language Arts), Math and Science; the Consolidated State Performance Report (CSPR) for Title I; Graduation Rates; Attendance Rates; Directory information; Grades served; and all data previously included in the Common Core Data (CCD) collection system. | The current system meets requirements of this capability. However, the proposed linkages with other measures will enable identification of correlations and patterns that will help identify best practices to achieve desired short-term and long-term results, integrating the current system into a full-fledged P-Career SLDS. |
| ***12 REQUIRED DATA SYSTEM ELEMENTS*** | | |
| A unique statewide student identifier that does not permit a student to be individually identified by users of the system (except as allowed by Federal and State law). | Alaska has different identifiers in use at EED, at UA, and at Labor. As a result, the state does not have a common, unique P-Career statewide student identifier. The means by which Alaska will match data across sectors is validating EED and UA unit record data using the State's PFD Division database. That data is comprehensive relative to state residents and contains key identifying information including social security number, name, and birth date. | Institute a validation process using identifying elements from each contributing source system, and matching them to data in the PFD Division database to establish linkages. Once these linkages are established, the crosswalk data will be stored and utilized when building datasets from the various sources. The proposed linkage system will include development and testing of internal controls at each source system to ensure that personally identifiable information is not released in the process of making these linkages. |
| Student-level enrollment, demographic, and program participation information. | Demographic and enrollment data are included in the existing K-12 data system, as well as limited data sets for select federal programs; however, the system does not include program participation information for all programs available to Alaska's students. Many of these programs capture information in separate, standalone databases, which results in cumbersome and inconsistent linking and reporting mechanisms. | Expand P-12 systemic data linkages to include program participation currently maintained in discrete databases. This includes Free/Reduced Price Lunch status, English language learner, Perkins programs, dual enrollment, and student disability data, among others. The grant will additionally provide for the progress of beneficiaries of these programs to be tracked beyond secondary school, through their postsecondary and workforce careers, providing data that may be used to improve instruction and inform policy to improve outcomes. |

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| Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P-16 education programs. | Basic P-12 information is available. Student exit data are currently collected, but systemic linkages to access postsecondary data are limited. | Establish a methodology to link P-12 to postsecondary and other state agency databases, enabling Alaska to comprehensively track postsecondary progression and status of students exiting the P-12 system. The system will answer the challenging question of what happens to students who exit the system, especially those who exit prematurely. By additionally and systemically linking with GED information, military and workforce preparation programs such as apprenticeships, the proposed SLDS will for the first time enable differentiation between drop-outs who later take alternative paths to success, and those who experience life-long impact. |
| The capacity to communicate with higher education data systems. | Alaska currently does not have the ability for the state's public P-12 and postsecondary sectors to communicate directly with one another. Efforts have been made to link data across these sectors beyond preexisting federal reporting requirements such as Perkins, but progress is impeded due to the lack of existing resources. | Create methodologies for establishing a "crosswalk" with the state's PFD Division database, using successful matching methodologies currently in use in Alaska by several of the state's agencies, to validate data linkages between P-12, postsecondary and other outcomes data. |
| A State data audit system assessing data quality, validity, and reliability. | EED generates reports showing warnings and fatal errors as business rules and edit checks are applied. The warnings list records and issues that need to be reviewed but not necessarily edited. Fatal errors are events that are required to be addressed prior to successful submission. | Create system-wide internal controls to identify and prevent inaccurate linkages, inappropriate data manipulations, and protection of individual privacy. |
| Yearly test records of individual students with respect to assessments under section 1111(b) of the Elementary and Secondary Education Act of 1965. | This element was fully implemented through the Unity Project. | The Unity Project currently meets all requirements of this element. |
| Information on students not tested, by grade and subject. | This element is fully implemented. | Although this element is fully implemented, the proposed SLDS will enhance the current information by adding the ability to identify why students did not test. |
| A teacher identifier system with the ability to match teachers to students. | This element is Phase VII - Teacher & Staffing data, within the Unity Project. Alaska is currently piloting the data collection for the Certified Staff Accounting and the Classified/Paraprofessional Staff Accounting data collections. This information is being utilized by EED's Assessment office this year. | The implementation of Phase VII of the Unity Project, as well as capturing the required teacher identifiers as part of the transcript data collection system deployed via this grant-funded project, will enable the linkages between teachers with students. |

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| Student-level transcript information, including information on courses completed and grades earned. | Alaska does not currently have this element available. | Acquire a student transcript system to capture courses attempted, completed and grades earned. As part of this transcript system, the needed teacher identifiers will also be collected, facilitating the linkages between students and their teachers. Alaska's Governor has proposed legislation to implement a financial aid program that may spur action toward the creation of common course standards. This will facilitate standard course definitions, which will be a pivotal aspect on the transcript collection process. |
| Student-level college readiness test scores. | These data elements, which include ACT and SAT scores, are currently housed in the UA database for individuals who sought admission to the university. Individuals enrolling at UA who did not take the ACT or SAT are required to take the Accuplacer test to identify readiness for collegiate level instruction, and those scores are also housed at UA. Currently, there is no systemic linkage between K-12 and postsecondary systems. | Establish a formalized process to link P-12 data with postsecondary student records to capture ACT/SAT, Accuplacer and WorkKeys scores (after 2011, when WorkKeys requirements take effect) to analyze impact of interventions or instruction on test scores and college and career readiness and use data to improve instruction. |
| Data that provide information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework. | UA collects these data elements for students enrolled in the university, but no systemic linkages with secondary institutions are in place. | Establish a formalized process to link P-12 data with postsecondary student course records that will include remediation, enabling Alaska to evaluate college-level readiness of students progressing into postsecondary education within the State. This process will further allow for assessing secondary schools, teachers, and programs in preparing students for progression into postsecondary. |
| Data that provide other information determined necessary to address alignment and adequate preparation for success in postsecondary education. | Currently, Alaska does not have a systemic approach to link K-12 student data with postsecondary database systems. | Establish a formalized process to link P-12 data with postsecondary student and teacher records that will include all data available, enabling Alaska to evaluate student progression from P-12 through postsecondary to become a successful contributor to Alaska's economy. |

# Project Narrative

## Project Narrative - Appendix D Letters of Support

Attachment 1:
Title: **Appendix D_Alaska's ANSWERS** Pages: **81** Uploaded File: **G:\workgroups\SLDS Project\Final Versions\Appendix D_Alaska's ANSWERS.pdf**

**Alaska's ANSWERS**

Appendix D

- Alaska LDS Data Audit Findings
- Memoranda of Agreements
- Letters of Support (13):
  - Alaska Senators
  - Alaska Workforce Investment Board (AWIB)
  - Cook Inlet Regional Inc. Foundation (CIRI)
  - First Alaskans Institute
  - Governor Parnell
  - Ilisagvik College
  - Institute of Social and Economic Research (ISER)
  - Juneau School District
  - State of Alaska Department of Education and Early Development
  - State of Alaska Department of Labor and Workforce Development
  - State of Alaska Department of Revenue
  - University of Alaska
  - Western Interstate Commission for Higher Education (WICHE)

# Data Audit Findings

## Alaska Longitudinal Data System Project

Submitted to the Alaska Commission on Postsecondary Education

November 11, 2009, DRAFT

## Executive Summary

The Alaska Data Audit project grew out of meetings and discussion between the Western Interstate Commission for Higher Education (WICHE) and the Alaska Commission for Postsecondary Education (ACPE) on the potential of a statewide longitudinal data system and considerations when responding to the SLDS grant competition included in the federal stimulus package. ACPE contracted with WICHE to examine Alaska's position regarding its readiness for a larger SLDS development project including a landscape review of Alaska's existing data systems, what information they contain, how they are being used, and the degree to which information held by individual state agencies is shared among them. In partnership with the National Center for Higher Education Management Systems (NCHEMS), WICHE produced this report presenting the findings from that effort and is intended to contribute to Alaska's effort at preparing its proposal for the current SLDS grant. This report also offers recommendations concerning how Alaska might proceed in making good on the assurance it provided in its application for the State Fiscal Stabilization Funds.

Information was gathered from a variety of state agencies, non-profit organizations, and institutions in Alaska that capture human capital data of some form. These units included the Department of Education and Early Development including ACPE, the Department of Labor and Workforce Development, the Department of Health and Social Services, the Department of Corrections, the University of Alaska, Native organizations, local school districts, etc.

Findings and recommendations:

- Most Alaska agencies and units have databases that function well for their intended purposes; therefore, it makes sense to link these data systems using identifier matching rather than building a new stand-alone database to incorporate needed longitudinal data.
- A database architecture which includes a common core data system with links is recommended. This option allows for the exchange of data supplemented with a set of key data elements sufficient to answer a preponderance of research questions.
- The American Recovery and Reinvestment Act provides an unusual opportunity for engaging with the governor's office in the development of a statewide human capital database for policymaking purposes.
- With regard to governance of a statewide longitudinal database, Alaska should institute a permanent governance council, formalized within an educational entity in order to comply with FERPA regulations, and invested with authority to oversee research using longitudinal data while safeguarding privacy. At minimum, each organization whose data are contained (at least in part) in the longitudinal data system should have a permanent seat at the governance table, including Department of Education and Early Development, the University of Alaska, the Alaska Commission for Postsecondary Education, and the Department of Labor and Workforce Development, and possibly the Permanent Fund Dividend division. There may be other stakeholder groups with a legitimate interest in having a voice as well, including the governor's office, legislature, Native organizations, or others.
- A suitable location for the statewide longitudinal database is to have it housed at and managed by ACPE. Among the chief advantages of ACPE as the host for a statewide

longitudinal database are that it avoids many of the FERPA issues because it is already part of the educational system in Alaska with an existing P-20 mission. ACPE's existence as an entity legally independent from the state reinforces its impartiality and bolsters its capacity to serve as a source of high-quality, objective analysis. Furthermore, ACPE is adept at safeguarding confidential information as it is the state's guaranty agency.

## Introduction and Background

As the globalized knowledge economy has driven demand for a well-educated workforce, and as the United States has slipped relative to other nations in the share of its population with postsecondary education or training, the need for improving educational outcomes and reducing educational attainment gaps has become increasingly apparent. At the same time, there has been a growing recognition of how states' existing data systems are limited in terms of their ability to improve and effectively target public policies and practices. In response, the federal government has made substantial investments over the last several years in helping states develop longitudinal data systems capable of following individual students. With the passage of the American Recovery and Reinvestment Act (ARRA), the federal government has accelerated these activities and expanded them by linking records between K-12 education, postsecondary education, and workforce through two key provisions. First, each state was required to assure the federal government that it would build and use a longitudinal data system linking these three sectors as a condition of accepting its share of the State Fiscal Stabilization Fund (SFSF), a commitment that Alaska made when it applied for those funds. Second, the ARRA legislation funded a $250 million grant competition to help winning states cover statewide longitudinal data systems development costs.

This project grew out of a meeting hosted by WICHE at its offices in Boulder, Colorado in December 2008 at which data stewards from the K-12, postsecondary, and workforce sectors from 14 Western states gathered to discuss and begin surmounting obstacles to data sharing among them. Subsequently, the Alaska Commission for Postsecondary Education (ACPE) hosted a data summit in Anchorage in June 2009 with help from WICHE and its partner, the National Center for Higher Education Management Systems (NCHEMS), to begin gathering consensus on the need to develop a statewide longitudinal data system spanning all three sectors (at a minimum) and to start the process of crafting a response to the SLDS grant competition included in the federal stimulus package.[1] At that time, the group concluded it would be worthwhile to obtain outside help in examining Alaska's position regarding its readiness for a larger SLDS development project. ACPE then contracted with WICHE to conduct a landscape review of Alaska's existing data systems, what information they contain, how they are being used, and the degree to which information held by individual state agencies is shared among them. This report presents the findings from that work, which is intended to contribute to Alaska's effort at preparing its proposal for the current SLDS grant. This report also offers recommendations concerning how Alaska might proceed in making good on the assurance it provided in its application for the SFSF funds.

## Methodology

After conference telephone calls with ACPE staff, WICHE and NCHEMS developed a survey to be sent via email to agencies and groups within Alaska that might be potential sources of data for a statewide longitudinal data system. The initial survey is attached as Appendix A. The units that received and returned this survey included:

- Department of Education and Early Development (EED)
- Anchorage School District, Assessment and Evaluation
- University of Alaska, Planning and Institutional Research

[1] Our thanks go to the Bill and Melinda Gates Foundation for the financial support that made both meetings possible.

- Department of Health and Social Services
- Alaska Department of Revenue, Permanent Fund Dividend Division (PFD)
- Department of Labor and Workforce Development (Labor)
- University of Alaska, Institute for Social and Economic Research

This information was reviewed and additional questions developed for each unit to be asked during an in-person interview. Brian Prescott, Director of Policy Research, WICHE, and Karen Paulson, Senior Associate, NCHEMS, conducted a site visit to Juneau and Anchorage from September 21 – 24, 2009 (see Appendix B for the interview protocol). Stephanie Butler of ACPE arranged these meetings and interviews. People interviewed included:

- Diane Barrans, Executive Director, ACPE
- Stephanie Butler, Director of Operations, ACPE
- Sheila Corey, Division Operations Manager, EED
- Helen Mehrkens, Director of Career and Technical Education, EED
- Felicia Swanson, Accountability and OCR Associate, Career and Technical Education, EED
- Deborah M. Bitney, Director, PFD Division, Department of Revenue
- Amy Iutzi, ABE/GED Coordinator, Labor
- Bonnie Walters, Research Analyst IV, Department of Corrections
- Gwen White, Associate Vice President for Statewide Planning and Institutional Research, University of Alaska(UA)
- Craig Kahklen, Senior Research Analyst, Research and Analysis Section, Division of Public Assistance, Department of Health and Social Services
- Susan Anderson, President and CEO, CIRI Foundation
- Ricardo Lopez, Program Officer, CIRI Foundation
- Laurel Vorachek, Director of Assessment and Evaluation, Anchorage School District
- Mike Fleckenstein, Supervisor, Systems Development, Anchorage School District

Telephone interviews were conducted with individuals we were not able to meet with in-person. These included

- Jeff Hadland, Senior Economist, Labor
- Erik McCormick, Director of Assessment, Accountability, and Information Management, EED

## Landscape Review Findings

*Status of Existing Longitudinal Data System Work in Alaska*

In FY06, Alaska's EED received an award through a previous round of funding from the Institute for Education Sciences, National Center for Education Statistics, U.S. Department of Education to

build a statewide longitudinal data system. Those funds were used for the Unity Project to build a system that could collect and transfer data from various school districts around Alaska to the state agency in order to create efficiencies and streamline reporting. A major goal of that effort was to create the first statewide longitudinal system for Alaska's K-12 students. The Unity Project was broad in scope with a total of seven phases, only the first four of which were included in the first federal grant. The federal grant supporting that work is now nearing its end with Phase IV complete; however, Phases V through VII remain and could be supported in part by the new ARRA funding. The Unity Project appears to have achieved several goals critical to sustaining work on a K-20/workforce longitudinal data system. Most importantly, EED now has an individually identifiable record at the state level for all public K-12 students.

At the postsecondary level, the University of Alaska (UA) statewide office maintains access to individual-level records for all its enrollees, which given the limited number of non-UA providers of postsecondary education in Alaska, means that UA has information on the vast majority of postsecondary participants in the state. Yet apart from linking data in order to respond to federal reporting requirements, such as for Perkins participants, there have been no systematic efforts to link students at the K-12 and postsecondary levels. Two major obstacles have stood in the way of making such linkages. First, the lack of a statewide student-level system in the K-12 sector was one, but the progress the Unity Project has made has eliminated that obstacle. The second barrier is that the student information systems at UA and EED use separate student identifiers. Also, while UA captures students' Social Security numbers (for reporting related to tuition tax credits to the Internal Revenue Service), EED no longer does. Nor does UA capture an entering student's EED identifier. Recently, the University of Alaska system has been accepting electronic high school transcripts for some of its enrollees. But to date these transcripts are imported only as image files, so while they include the student's EED identifier number, there has been little activity so far to electronically capture the information contained within them for use in populating UA's student information system.

Although matching individual data at the K-12 and postsecondary levels in Alaska has been infrequent, there is considerable effort taking place to link these data with workforce information in Alaska. Through several Memoranda of Understanding (MOUs), the state's Department of Labor and Workforce Development has been granted access to individual-level data held by EED and UA. These MOUs are each the product of separate negotiations between Labor and one or more other state agencies. Some have been in place for many years, while others are fresh and have little history. Originally, MOUs were developed to answer a discrete question or meet a specific reporting need. More recently developed MOUs have allowed for more open-ended arrangements without specific termination dates, but the parties retain the ability to unilaterally terminate the agreement at any time. Data linkages under these MOUs are subject to different requirements and protections. Under these arrangements, Labor matches the other agencies' data with its own data (usually the Unemployment Insurance (UI) database) to examine former students' experiences in the labor market. Alaska's PFD database provides the state with a unique advantage among all states in its ability to authenticate and match records in data systems with incompatible identifiers. The PFD allows Labor to link a record by matching information such as name and birth date with a Social Security number, which is the only means by which the UI data can be accessed. While linking data between the two educational sectors may be possible in Alaska without resorting to the PFD, its use enables a much higher matching rate and access to the wage records maintained by Labor. From the linked data, Labor produces aggregated results, according to the procedures outlined in the specific MOU.

Labor has had an MOU to share data with UA for some time now. Within the last several months, Labor and EED executed an MOU to share individual-level data to expand EED's understanding of former students in its system including how many of them stay in state to work or go to college. With access to the PFD database, it is technically possible for Labor to bring together data from both of Alaska's educational sectors. The progress made during the first funding stream to the EED developed a strong foundation on which Alaska can build. The new request for proposals for statewide longitudinal data systems under ARRA requires seven data system capabilities and twelve data system elements. Using the information provided in Table 1 and the required data elements and capabilities in the new request for proposals, we can identify areas of focus for Alaska including primary identifiers and potential database governance and architecture options.

**Table 1. Alaska SLDS Features as Reported to the National Center for Education Statistics in May 2009 (adapted from SLDS Grant Program features_summary May 2009 update.pdf available at the NCES website)**

***Data Content: Individual Student Data***

Assessment: Local - not planned
Assessment: State - operational as of May 2009
Assessment: National College Readiness (SAT, ACT, AP Scores, etc.) - not planned
Classroom Grades for K-12 - not planned
Course Enrollment and Completion - not planned
Attendance (Daily or Received on a Daily Basis) - operational as of May 2009
Discipline - operational as of May 2009
Enrollment - operational as of May 2009
Homeless - work in progress
Migrant - operational as of May 2009
NGA Graduation/Drop Out - operational as of May 2009
Special Education – IEP Data - operational as of May 2009
Statewide Unique Student IDs - operational as of May 2009
Student-Teacher Link - not planned
Students Not Tested and Rationale - operational as of May 2009

***Data Content: Individual Staff/Teacher Data***

Teacher Assessments (Praxis, etc.) - operational as of May 2009
Teacher Assignments - operational as of May 2009
Teacher Certifications - operational as of May 2009
Statewide Unique Staff/Teacher IDs - operational as of May 2009

***Data Content: Inter-Agency Individual Student Data***

Integration of Adult Education Data - operational as of May 2009
Electronic Transcripts to Post-Secondary: Data Transfer - not planned
Electronic Transcripts to Post-Secondary: PDF - not planned
Electronic Student Data Exchange Among K-12 Schools – work in progress
Electronic Student Data Exchange With Other States - not planned
Integration of Post-Secondary Data - not planned
Integration of Workforce Data - operational as of May 2009
Pre-Kindergarten (beyond Special Education) - operational as of May 2009

***Data Content: School or Agency Level Data***

Geocoded Data (GIS): School or Agency Level - not planned
Facility Data: School Level - not planned
Collection and Submission of all Federally Required Data - work in progress
Finance: LEA/District Level - not planned
Finance: School Level - not planned
Standardized Course Codes - not planned

***Access to Student Level Data (via Authentication)***

Business Intelligence Tools for Schools/Teachers - work in progress
LEA/District Staff - work in progress
Parents - not planned
Publicly Accessible Policy on Data Access for Researchers - not begun as of May 2009
Published Policy on Data Use - work in progress
Publicly Accessible School/Grade-Level Achievement Growth Model Data (based on individual student growth measures) - operational as of May 2009

***Professional Development/Training***

Data Access and Understanding for LEAs/Districts and Schools - work in progress
Data Quality Training program for Schools and LEAs - operational as of May 2009
Using Data to Impact Education for LEAs/Districts and Schools - work in progress

***Data System Features***

Business Rules to Identify Invalid Data Entries - work in progress
Comprehensive Metadata (with history of code changes and policies affecting data) for SLDS - not begun as of May 2009
Comprehensive Data Dictionary for SLDS - operational as of May 2009
Data Audit System: Measuring Data Quality/Validity/Reliability - work in progress
External Evaluation of Data Availability and Use (from SLDS) - not begun as of May 2009
Functioning Comprehensive Agency-wide Data Management and Governance Policies and Procedures - operational as of May 2009

*Primary Identifier*

A field to uniquely identify each student in the database is the most essential component of a longitudinal data system. Without one, even with alternate algorithms that match individuals on identifying information such as name, birth date, gender, etc., the system will not completely capture the true picture of human capital development. This outcome is especially so if the reasons matches tend to fail more frequently in the absence of a unique identifier are not random, and it is almost certain that they are not (i.e., a database is far more likely to lose track of a student who moves frequently in and out of the district or the state than it is if he or she attends the same school year after year).

If a linked system of databases is to work in Alaska, there must be some method devised for linking data and information in one database with corresponding data in the other databases. To do so, a group of data stewards will need to agree on a linking system using individual identifiers from the various databases. While this procedure will likely be complicated, it is not impossible. In Table 2 below primary identifiers are listed by agency or unit.

A students' Social Security number is no longer used by EED, UA, or individual school districts in Alaska for students. (The SSN is kept in these units for reporting to Internal Revenue Service any payments to staff and teachers and for tuition tax credits for UA students.) In fact, EED no longer carries SSN for students at all. The Department of Labor and Workforce Development only has SSN as an identifier; it does not carry first name, last name, or birth date in its database. Therefore, in order to link data from educational sector databases with labor databases requires a database with both SSN and the combination of first name, last name, and birth date in it. In Alaska, the Permanent Fund Dividend database provides the necessary data for all Alaskans who apply to receive monies from the Permanent Fund (estimated coverage of the population is about 97% or higher). In other states the Division of Motor Vehicles database is the resource that best approximates what PFD provides for Alaska.

**Table 2. Potential Primary Identifiers by State Agency or Unit**

| Individual Identifiers | Individual School Districts | EED | UA | PFD | Labor | Health and Social Services | Corrections |
|---|---|---|---|---|---|---|---|
| **SSN** | No | No | Yes with restrictions | Yes | Yes | Yes | Yes |
| **Locally-created Identifier** | Locally created and ASIS # | ASIS #– Alaska Student Identifier | UAID – University of Alaska Student Identifier | No | No | Client ID Number – aka Medicaid number | Offender Number |
| **First Name** | Yes | Yes | Yes | Yes | No | Yes | Yes |
| **Last Name** | Yes | Yes | Yes | Yes | No | Yes | Yes |
| **Birth Date** | Yes | Yes | Yes | Yes | No | Yes | Yes |

In addition to agreeing on a method for linking using primary identifiers, a group will need to be given responsibility as well for reconciling and crosswalking codes for common data elements such as race and ethnicity. Initially a thorough review of common data elements by agency and "coverage" (which percent of the agency's population has a value for the element) should be

conducted. While most Alaska agencies have their own set of values for a given data element (such as race/ethnicity), a common mutually-agreeable definition for data elements used in the statewide longitudinal data system and consistent structure for coding values when linking data systems together should be possible.

*Governance and Architecture*

Alaska has several options when it comes to organizing a governance arrangement for a statewide longitudinal data system that spans K-12, postsecondary, and workforce information. Already, the state has managed to develop arrangements that appear to enable it to link individual-level data across all three sectors, at least technically, with Labor providing the match and with the PFD information providing the critical crosswalk information that allows linkages between the otherwise incompatible systems used by the two educational agencies. While these efforts to date are admirable, they suffer from several disadvantages. First, while Labor has had access to the UA's records for some time, with both agencies perceiving the relationship to be providing valuable information, the MOU between EED and Labor is brand new and untested. Not enough information has yet been shared to test whether that relationship will be seen as equally, mutually beneficial, although both agencies are confident that the information exchange will be extremely valuable

Second, although a scaffolding of bilateral and multilateral MOUs may combine to provide Alaska with the capacity to track individual students, there is no guarantee that such a rickety structure can stand the test of time. At any moment any one of the parties to the various agreements could withdraw, thus removing their data from the pool of available resources and eliminating the capacity for statewide longitudinal analysis. So an MOU-based scaffolding is unusually dependent upon the leadership of the engaged agencies. When leadership inevitably changes, it is possible that policies related to data sharing could change as well. Such a change is especially problematic if access to the PFD dataset is lost, which would sharply reduce the ability to link K-12 data with postsecondary data. We were assured the withdrawal of the PFD dataset was unlikely and that the law governing the use of the PFD dataset clearly specifies that state agencies should have access to it if they can show a legitimate need for it. Nevertheless, it is possible for someone bent on restricting access to this particularly sensitive set of personally identifiable data to argue that state business is successfully conducted in 49 other states where no equivalent dataset with information about nearly all state residents exists and restrict use of the PFD dataset.

Indeed, while many of the Alaskans we interviewed might be described as not greatly concerned about the possibility of losing access to currently available data resources not concurrently maintained in their organization, we did hear how Alaska has not always been so free in sharing data internally in the past. Moreover, many of those we interviewed described how interpretations of privacy protections, including both FERPA and the more recent state law (HB 65), were closely restricting the collection and use of personally identifiable data of late (see Winnick memorandum in Appendix C).

A third disadvantage concerns the lack of standardization inherent in an array of MOUs. MOUs take time to be negotiated and each one has its unique guidelines requiring compliance. A more consistent approach to data sharing may streamline the whole process.

Notwithstanding these weaknesses in relying on a web of MOUs to manage the data sharing activities in the state, the fact that Alaska has been able to rely so far on these instruments – and

even expand their usage – speaks highly of the state's recent track record in putting the building blocks in place for a longitudinal data system. They indicate that Alaska's culture is primed for the next step forward in terms of solidifying a governance structure for data sharing. Such a permanent structure will give comfort to the federal government and others who are concerned about how longitudinal data systems will be sustained beyond the expiration of current grants.

The web of MOUs has achieved a de facto governance and architecture arrangement that does not reflect an intentional, statewide design. Nonetheless, it does provide a means for matching data currently held by different agencies within the state and represents an option Alaska could choose as its solution for data sharing on a long-term basis. Yet the state may elect to take advantage of the historic opportunity available through the ARRA funding to create a more lasting governance structure, and there are a few basic alternatives from which to draw. We list those options here:

1. Build a consolidated data warehouse where all individual-level data spanning K-12, postsecondary, and workforce reside, akin to what the State of Florida has. This alternative has the advantage of putting data in a single centralized location where data quality and compatibility can be more closely monitored and assured. There would be minimal linking necessary in the long-term. On the other hand, adopting this approach is generally extremely costly in terms of dollars, political capital, and time. It also requires each agency to effectively surrender ownership of their own data to the organization (presumably a new state agency or a new function within an existing state agency).
2. Develop a minimal "crosswalk" database housing information to allow linkages to occur between different agencies' databases. Something on the order of this already exists in Alaska through the PFD. In other words, the PFD supplies the linking information necessary for examining labor market outcomes of K-12 and postsecondary educational processes. This option would be a little different in that it would create a table containing nothing more than the local identifiers in use in the various state agencies. For instance, it would directly link an individual's Social Security number (used by Labor) with their ASIS number (used by EED), their UA identifier, and other agencies with identifying information they were interested in trying to connect. To do an analysis using this data table, an analyst would have to request the corresponding detail on a set of individuals from the two or more agencies housing the relevant information.

   This approach has the advantage of creating a lasting means by which data matching can occur, without fear that a contrary leader might one day dissolve an existing data sharing MOU. It is also a relatively inexpensive solution. It does not, however, encourage much standardization of data elements. More importantly, significant barriers to accessing vital data remain, which could constrain its usefulness in providing information to policymakers. This obstacle may occur if analysts in possession of the appropriate identifier are nevertheless denied access to the data system that contains the variables of interest for an analytical exercise. However, this approach could be supplemented by creating "gateways" for users in each sector to enable their access directly to a limited set of data elements residing on another sector's database, although the security of such an arrangement would need especially constant vigilance.

   A disadvantage of this approach is that re-matching data would have to occur frequently which likely would impact how useful the statewide longitudinal data system would be over the long term because of the added effort re-matching would demand and because each

match is an opportunity for errors to enter calculations. Elements and derived variables would still need to be standardized.

3. Develop a more robust "core" database. This option is an extension of the previous alternative, with all the relevant identifiers to allow the exchange of data supplemented with a set of key data elements sufficient to answer a preponderance of research questions. Such additional information would include race/ethnicity, gender, birth date, income indicators, county/state of origin, high school/college, exam scores, grades, awards (diplomas, degrees, certificates), derived variables on coursework (including remedial coursework), attendance intensity, student class level, major, earnings, employment status, wages, occupation, and so on. This option would require regularly scheduled extracts of pertinent data from the systems of various providers, which could then be analyzed. This core set of data would provide for a wealth of analytical opportunities and reporting on its own. If a database becomes obsolete or is discontinued, our data is not compromised as we already have the snapshot captured for history. But these data could be enhanced with additional information from the responsible state agency, school district, institution, school, Native organization, or others. Ideally, such a database would also attach a statewide unique identifier to each student once those students are loaded in and matched. The benefit of doing so would reduce errors and eventually the state's reliance on the PDF database for matching purposes in educational research and evaluation. In addition, using such an identifier increases the level of privacy protection while still allowing these data to be used for analyses performed by others; that is, it may facilitate the release of data to consultants/contractors or external researchers who need access to individual-level data stripped of any identifying information, which may include the ASIS or UA numbers or SSN, for their research or evaluation projects.

Once a basic architecture is determined, Alaska must settle on how its longitudinal data system will be governed. There are several alternatives available to the state for locating responsibility for the data system's management, standard report generation, and ad hoc access to the data. Several caveats are appropriate here. First, because the SFSF funding in ARRA required state governors to commit to developing and using a statewide longitudinal data system, Alaska's governor might be included in order to assume some responsibility for not only the development of a statewide longitudinal data system, but its ongoing use in policymaking. Second, if the governance of Alaska's statewide longitudinal data system is housed in an existing agency that does not have a broad conception of human capital development at its core (rather than a more siloed view of one piece of the education and training infrastructure), then Alaska may miss the value added by the broader scope and perspective vital for making the best use of a statewide longitudinal data system. Finally, while the governor could be an effective partner in this effort, Alaska should be cautious of allowing the governance structure for its SLDS to become dominated by political appointees.

The governance group would be where final responsibility and authority for use of the statewide data longitudinal data system lies. Another primary interest of this governance group would be to catalog which data elements from designated state agency data systems would be used, how they would be standardized, and the guidelines for calculated fields and metrics. The governance group would also decide who gets access to the data system (developing appropriate rules and procedures) and how data in the statewide longitudinal data system will be used. In addition, this group would be responsible for overseeing how the statewide longitudinal data system is maintained, including keeping core data for longitudinal studies. Finally, the governance group is responsible for addressing any disputes in how data are used, either by partnering agencies or others.

In terms of creating a workable governance arrangement, Alaska might consider turning over full responsibility for both governance and management of the data system to a single state entity. But the option of having a specific entity manage the data system while larger governance issues are settled in part through a separate governing council has the advantage of ensuring that stakeholders are suitably represented in governance deliberations. At minimum, each organization whose data are contained (at least in part) in the longitudinal data system should have a permanent seat at the governance table, including EED, UA, Labor, and possibly the PFD. There may be other stakeholder groups with a legitimate interest in having a voice as well, including the legislature, Native organizations, or others. Without becoming overly bureaucratic, having a transparent set of procedures for replacing members of the governance structure also would be important. To ensure FERPA compliance, this council should to be formalized as being housed within one of the state's educational agencies.

Meanwhile, Alaska needs to assign responsibility for the day-to-day management of the system, including collecting data, conducting quality assurance checks and data cleaning, and regular reporting. This entity also will need to assume responsibility for convening the governance council on a regular basis. There are several alternatives for assigning responsibility for the management of the data system, which are listed here.

1. Explore how Labor could be invested with permanent authority for managing Alaska's statewide longitudinal data system. This alternative has several advantages. It is the closest approximation for how the state is currently conducting the business of sharing and analyzing data. Labor currently appears to be the only agency with the necessary resources and expertise to fill this role quickly. Moreover, there appears to be great comfort among data stewards in other agencies in allowing Labor to serve in this capacity, at least under existing arrangements. Unfortunately, it is probably not allowable under current privacy regulations for a non-education agency to be given permanent authority for managing personally identifiable education-related data. Should regulations loosen, it still may be an issue in the long term for the two education sectors in the state to surrender control over their data to a separate agency with a mission that, while complementary, is dissimilar in important ways.
2. Create a new unit within UA or EED and invest it with responsibility for managing the statewide longitudinal data system. This solution circumvents many of the FERPA issues confronting the first option, especially if UA is designated as the responsible agency. Neither organization appears to have existing capacity in terms of the programming and analysis staff needed to manage such an activity, however.
3. Delegate responsibility for the statewide longitudinal data system's management to a different existing agency or organization within Alaska state government. One possibility is for ACPE to assume this responsibility. The advantages of this alternative are that it avoids many of the FERPA issues as ACPE is already part of the educational system in Alaska with an existing P-20 mission (when ACPE's outreach and access programs are considered). ACPE is also not explicitly a part of either the existing K-12 or postsecondary education infrastructures, and accordingly may be viewed as an impartial entity with existing relationships to both sectors and to the workforce while also retaining a predisposition against perpetuating silos within the education and training systems in the state. In fact, ACPE's existence as an entity legally independent from the state reinforces its impartiality and bolsters its capacity to serve as a source of high-quality, objective analysis. Furthermore, ACPE is adept at safeguarding confidential information as it is the state's guaranty agency,

which also means that links with financial aid data can be made with less difficulty. ACPE has programmers and analysts with considerable experience analyzing sensitive financial aid data and information while also safeguarding it from inappropriate disclosures. Finally, ACPE appears to be motivated and willing to take on responsibility for the statewide longitudinal data system. One potential disadvantage of this option is that ACPE may need to adapt its mission somewhat to more explicitly recognize this responsibility. But given that potential changes in the external environment concerning student loans have significant implications for ACPE, the timing may be right for such a shift.

4. Delegate the responsibility to an entirely new agency or organization in Alaska such as a P-20/Workforce Council. Creating a new organization outside of the existing educational infrastructure certainly presents challenges of politics and funding, but giving a new organization a narrowly focused mission and a charge to manage the statewide longitudinal data system may have merit. Such an entity might be able to gain legitimacy quickly because it spans K-12, postsecondary, and workforce without having to adapt an existing unit's mission. However, it would also face similar, even greater, problems related to human resources.

5. Outsource maintenance to an external organization such as the National Student Clearinghouse or other vendor. Advantages of this approach are that a third party would likely be viewed as impartial and that Alaska could tap directly into any best practices for data exchange pioneered by the vendor in its work with other states (as well as possibly any economies of scale). Disadvantages are that cost containment over the long term is less predictable, and the vendor will likely be relatively unfamiliar with day-to-day realities on the ground in Alaska.

## ARRA Grant Required Capabilities and Elements

This section presents the seven required data system capabilities and the twelve required data system elements mandated by the ARRA grant request for proposals followed by "implications for Alaska" based on findings from the WICHE and NCHEMS surveys and interviews.

***Required data system capabilities.*** A statewide, longitudinal data system developed with funding obtained pursuant to this grant competition must have the following seven capabilities:

1. The system must enable States to examine student progress and outcomes over time, including students' preparation to meet the demands of postsecondary education, the 21st century workforce, and the Armed Forces. Such a system must include data at the individual student level from preschool through postsecondary education and into the workforce (e.g., employment, wage, and earnings information).

Implications for Alaska – The state must broaden the scope of its definition of a statewide longitudinal data system to include not only EED, but also postsecondary education and workforce information. Currently the state has developed capability for linking workforce data with data from both educational sectors, but the K-12 linking has not been thoroughly tested. The lack of a permanent governance structure to ensure that capacity for linking data between education and workforce is sustained may be a concern for SLDS proposal reviewers. (Alaska may also be interested in eventually including data from other state agencies, especially Corrections and Health and Social Services.)

2. The system must facilitate and enable the exchange of data among agencies and institutions within the State and between States so that data may be used to inform policy and practice. Such a system would support interoperability by using standard data structures, data formats, and data definitions to ensure linkage and connectivity among the various levels and types of data.

Implications for Alaska – Because most Alaska agencies and units have databases that function well for their intended purposes it makes sense to link these data systems using identifier matching rather than building a new standalone database to incorporate needed longitudinal data. To ensure standard data structures, data formats and data definitions, a governance group of individuals from participating agencies would need to be formed to clarify these issues for analyses using linked data, including the schedule for performing database extracts.

3. The system must link student data with teachers, i.e., it must enable the matching of teachers and students so that a given student may be matched with the particular teachers primarily responsible for providing instruction in various subjects.

Implications for Alaska – As documented in Table 1, this capability – a student-teacher link – was not part of the initial four phases of the Unity Project. It is in a later phase and should be incorporated into any ARRA proposal submitted.

4. The system must enable the matching of teachers with information about their certification and teacher preparation programs, including the institutions at which teachers received their training.

Implications for Alaska – Statewide unique identifiers for teachers and staff to link with teacher certifications are operational as of May 2009 in the new system built by EED. Currently, the Teacher Certification unit within EED does not capture the institution where a teacher completed their teacher preparation program as a database element. However, the unit does have transcript images for each individual which contain the necessary data. Any statewide longitudinal data effort would need to incorporate a method for formally transferring this data element from image form to database element form and continue to capture it in a usable format in the future.

5. The system must enable data to be easily generated for continuous improvement and decision-making, including timely reporting to parents, teachers, and school leaders on the achievement of their students.

Implications for Alaska – As of May 2009, the Unity project had the capability to provide timely reports to teachers and school leaders in Alaska. However, no provision has been made through the Unity Project to provide reporting back to parents. Some Alaska school districts that employ the PowerSchool student information system have the capability for parents to monitor their children's progress but this access is on a school district by school district basis. Parent reporting should be considered for inclusion in the ARRA grant proposal; parent reports may simply be a special case of public reporting.

6. The system must ensure the quality and integrity of data contained in the system.

Implications for Alaska – Based on WICHE and NCHEMS analysis it seems to make sense to link existing data systems rather than create a whole new system because data systems in the various agencies and units are working well. The functioning systems for the most part have data quality checking capabilities; in fact, a major aspect of the Unity Project was to address data quality. Alaska should determine which other key data elements in other agencies may not be subject to adequate data checking and build that into its proposal for ARRA funds.

7. The system must provide the State with the ability to meet reporting requirements of the Department, especially reporting progress on the metrics established for the State Fiscal Stabilization Fund and the reporting requirements included in the EDFacts data collection and reporting system.

Implications for Alaska – Alaska's capability to address these requirements depends partly on what the federal government eventually adopts as reporting requirements for the SFSF grant money. For example, some of the proposed SFSF metrics require the state to be capable of linking student achievement outcomes to their teachers and principals, or to describe the state's progress toward putting those linkages in place. Currently, this linkage is not possible with EED's existing data systems. It may be possible (if difficult) to construct this linkage by tapping into school district data systems, depending on how well developed the districts' data are. Otherwise, these reporting requirements have been addressed by the Unity Project; however, additional personnel would help to enhance the ability to respond to these and similar requests. The ARRA proposal may want to include such personnel and necessary training.

***Required data system elements.*** A data system developed with funding obtained pursuant to this grant competition must include at least these 12 elements prescribed by the America COMPETES Act:

With respect to preschool through grade 12 education and postsecondary education:

1. A unique statewide student identifier that does not permit a student to be individually identified by users of the system (except as allowed by Federal and State law)

Implications for Alaska: Alaska has separate identifiers in use at EED and at UA and as a result does not have a single unique statewide student identifier. The only means by which Alaska can currently match data across sectors is by cross-referencing EED and UA data with the state's PFD database and relies on the Social Security number. The PFD data includes identifying information including Social Security number, name, birth date, and so on. Alaska has controls in place to ensure that personally identifiable information is not released in the process of making these linkages.

2. Student-level enrollment, demographic, and program participation information

Implications for Alaska: Demographic data are included in the Unity Project database, but no course-level enrollment or additional program participation information is included. These data

would need to be included in any SLDS proposal made. Student-level enrollment and participation data are included in the UA data system.

3. Student-level information about the points at which students exit, transfer in, transfer out, drop out, or complete P-16 education programs

Implications for Alaska: With appropriate memoranda of understanding, data and information on these transitions should be available now. Whether the necessary resources and programming and analysis staff are available to analyze these data is not determined.

4. The capacity to communicate with higher education data systems

Implications for Alaska: Alaska currently does not have the ability for the state's public K-12 and postsecondary sectors to communicate directly with one another. Only recently has the state even attempted to link data across these sectors beyond preexisting federal reporting requirements such as Perkins, and as yet no data have been linked. The means by which Alaska intends to do these linkages is still indirect, involving expertise from the state's Labor department and by crosswalking data with the state's PFD database. The lack of history linking data in this way, the inability to directly link these data, and the reliance on a fourth party (PFD) to provide data necessary to accomplish these linkages may all be viewed as shortcomings in Alaska's proposal.

5. A State data audit system assessing data quality, validity, and reliability

Implications for Alaska: The UA system has data quality checks in place; the completed Unity Project database also has data quality checking systems in place.

With respect to preschool through grade 12 education:

6. Yearly test records of individual students with respect to assessments under section 1111(b) of the Elementary and Secondary Education Act of 1965

Implications for Alaska: These data elements are included in the Unity Project with nearly full coverage.

7. Information on students not tested, by grade and subject

Implications for Alaska: These data elements are included in the Unity Project with nearly full coverage because they are required by No Child Left Behind.

8. A teacher identifier system with the ability to match teachers to students

Implications for Alaska: These data elements would need to be added to the current Unity Project database in order to have a fully articulated statewide longitudinal data system and fully respond to the ARRA proposal.

9. Student-level transcript information, including information on courses completed and grades earned

Implications for Alaska: These data elements would need to be added to the current Unity Project database in order to have a fully articulated statewide longitudinal data system and fully respond to the ARRA proposal.

10. Student-level college readiness test scores

Implications for Alaska: These data elements are likely found in the UA database, however, any college readiness test scores in that database are only for individuals who ended up attending the university. Currently, EED only receives college readiness scores aggregated by state, and in some cases, by district. It would be useful to have college readiness test scores for each high school student who sat and took the examinations and those data elements would need to be added to the current Unity Project database.

With respect to postsecondary education:

11. Data that provide information regarding the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial coursework

Implications for Alaska: We believe that these data elements are already available in the current UA and Unity Project databases (excluding high school transcript level data which would be useful to inform this issue); however, the staff resources and time to complete these sorts of analyses would need to be factored into any future statewide longitudinal data system.

12. Data that provide other information determined necessary to address alignment and adequate preparation for success in postsecondary education

Implications for Alaska: Currently, Alaska does not have, at the state level, high school transcript information that would be vital to examining these issues. It does have data on high school exit exams and postsecondary placement test scores that can help it determine how well aligned its exit and entry standards are. Also, course-level data are available at some of the school districts. So supplementing the state-level data with district data, particularly from the Anchorage School District which enrolls approximately 40% of public high school students in the state, may be one way to more closely examine the alignment/preparation issue. In any case, there is a significant question of whether the resources in staff time and expertise are readily available to perform these sorts of analyses. Addressing both data availability and the staff resources issues should be factored into any development plans for an SLDS in Alaska.

## Value Added to Alaska

The value added to Alaska overall and to its various agencies of a statewide longitudinal data system or the ability to associate existing data systems to answer statewide policy questions with these elements and capabilities is extensive. Such capacity will allow Alaska to address any issues in its educational and human services pipelines, analyzing which programs reinforce one another as well as which programs or alternatives work best for different sectors of Alaska's population. In addition to

the broad categories of value represented by an SLDS in Alaska – linking specific outcomes to educational activities and disaggregating in meaningful ways for more well-targeted policy and practice interventions – the SLDS has the potential to address many more specific questions in richer detail than is currently possible. Some examples of the power of these richer data if developed and used effectively include information which can be gleaned on:

- Which students complete high school and enter the Alaskan workforce,
- How many high school graduates continue to a two-year or four-year institution, and how much and what kinds of developmental education, if any, was needed to study postsecondary education,
- How many individuals participate in dual enrollment and/or a rigorous high school curriculum,
- How well financial aid meets the needs of students,
- What the costs to the state of high school dropouts is,
- What future economic fates face dropouts vs. completers in Alaska, disaggregated by key characteristics, and
- What the flow of developed human capital into and out of the state is.

## Recommendations

WICHE and NCHEMS offer the following recommendations to Alaska based on their findings in Alaska and previous experience with state longitudinal data systems elsewhere.

- Database architecture: common core data system with links. This option allows for the exchange of data supplemented with a set of key data elements sufficient to answer a preponderance of research questions.
- Location of database: housed and managed at ACPE. At least initially, ACPE may find it appropriate to identify a suitable contractor to perform the matches of individual level data since it currently lacks the expertise and staff resources for doing so itself. Given that the state's Labor Department currently has the necessary expertise and experience, we recommend that ACPE consider executing a contract with Labor to meet that need. In that case, under current FERPA interpretations, it would be wise to contract with Labor in such a way as to ensure that Labor's employees who work on performing the matches and resulting analyses be subject to ACPE's direct supervision while engaged in that task.
- Governance of database: institute a permanent governance council, formalized within ACPE and invested with authority to oversee research using longitudinal data while safeguarding privacy. At minimum, each organization whose data are contained (at least in part) in the longitudinal data system should have a permanent seat at the governance table, including Department of Education and Early Development, the University of Alaska, the Alaska Commission for Postsecondary Education, and the Department of Labor and Workforce Development, and possibly the Permanent Fund Dividend division. There may be other stakeholder groups with a legitimate interest in having a voice as well, including the governor's office, legislature, Native organizations, or others.

- Key partners: engage the governor's office – ARRA provided an unusual opportunity for getting governors more engaged in the development of a statewide human capital database for policymaking purposes. The governor's office effectively gives a statewide, human capital dimension to the database rather than it simply being a collection of sector-specific data.
- Good practice: each state agency might want to consider carrying other state agencies identifiers simply to be prepared for the possibility of the PFD disappearing in the future. For example, UA may want to develop a method for automatically capturing incoming students' ASIS number in its own unit record system.

# Appendix A

WICHE Alaska Data Audit Project, Initial Survey to Agencies and Units, July 24, 2009

*WICHE Alaska Data Audit Project*

**Initial Survey to Agencies and Units**
**July 24, 2009**

The purpose of this survey is to gather initial information from agencies and units to help WICHE and NCHEMS understand the Alaska data environment. We seek two kinds of information: a) how responsibility for various functions related to education and workforce data is assigned in Alaska and, b) how you define key terms and handle or report particular kinds of data. Feel free to elaborate in your responses to any of the questions posed so we can obtain as full an understanding as possible of these topics before we visit. This information will help us ask more detailed questions and to begin to build a matrix of data, data use, and existing relationships. For more information about this project, please contact the Alaska Commission on Postsecondary Education at 907.465.6740, or Karen Paulson, Senior Associate at NCHEMS, 303.497.0354 or Karen@nchems.org.

***Education and Workforce Data in Alaska***

This survey has been distributed to various Alaska agencies and units. We would like to know which agencies and units you turn to when you need information about aspects of education and workforce. Your responses may reflect entities that manage a particular aspect of education or workforce (and therefore will most likely keep data about it), but your responses may give fresh information about other units that provide useful data support. For the purposes of this survey, "unit record data" refers to individual records corresponding to each participant or student enrolled in an institution, school, or program each term or year; these data are often kept in electronic databases.

**Remember to include your own organization if you collect and maintain these data.**

Please provide the name and contact information for the person completing this survey to allow us to contact them should we have any questions about responses.

*Name of person completing survey:*

*Contact information:*

**Thank you for your time!**

## SECTION 1. Data Sources and Usage

**Preschool Education Functions:**

Who do you turn to when you need data about *Preschool Education*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about Preschool Education has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

**K-12 Education Functions:**

Who do you turn to when you need data about *K-12 Education*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about K-12 Education has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

**Adult Education Functions:**

Who do you turn to when you need data about *Adult Basic Education*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about Adult Basic Education has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

Who do you turn to when you need data about *English as a Second Language (ESL) Instruction*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about English as a Second Language (ESL) Education has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

Who has responsibility for *GED Instruction*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

**Developmental or Remedial Education**:

Who do you turn to when you need data about *Developmental or Remedial Education*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about Developmental or Remedial Education has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

**Dual Enrollment Education:**

Who do you turn to when you need data about *Dual Enrollment Education*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about Dual Enrollment Education has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

**Vocational-Technical Education:**

Who do you turn to when you need data about *Vocational-Technical Education*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about Vocational-Technical Education has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

**Postsecondary Education:**

Who do you turn to when you need data about *Postsecondary Education*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about Postsecondary Education has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

Who do you turn to when you need data about *Postsecondary Financial Aid*?
(repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about Postsecondary Financial Aid has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

**Workforce Development Education and Training:**

Who do you turn to when you need data about *Workforce Development Education and Training*? (repeat as needed)

Name of Provider Organization(s):
Contact Person:
Contact Information:
What sort of information about Workforce Development Education and Training has your agency or unit obtained from this provider?

| | | | |
|---|---|---|---|
| | Regularly obtain unit record data to match with your student/participant data | | |
| | Are these data in an interoperable format? | Y | N |
| | Have the capacity to obtain unit record data to match with your student/participant data | | |
| | Can only obtain aggregate data or standard reports | | |
| | Cannot obtain any information | | |
| | Do not use this type of information | | |

Comments:

## SECTION 2. Ability to Link with Other Unit Record Databases

**National Student Clearinghouse** (a dataset containing records for roughly 92% of all postsecondary enrollments nationally):

| | |
|---|---|
| | Regularly obtain unit record data to match with your student/participant data |
| | Have the capacity to obtain unit record data to match with your student/participant data |
| | Can only obtain aggregate data or standard reports |
| | Cannot obtain any information |
| | Do not use this type of information |

Comments:

**Employment Records (UI Wage) within State**:

| | |
|---|---|
| | Regularly obtain unit record data to match with your student/participant data |
| | Have the capacity to obtain unit record data to match with your student/participant data |
| | Can only obtain aggregate data or standard reports |
| | Cannot obtain any information |
| | Do not use this type of information |

Comments:

**Employment Records from Other States:**

| | |
|---|---|
| | Regularly obtain unit record data to match with your student/participant data |
| | Have the capacity to obtain unit record data to match with your student/participant data |
| | Can only obtain aggregate data or standard reports |
| | Cannot obtain any information |
| | Do not use this type of information |

Comments:

**Employment Records from the Federal Government or Military:**

| | |
|---|---|
| | Regularly obtain unit record data to match with your student/participant data |
| | Have the capacity to obtain unit record data to match with your student/participant data |
| | Can only obtain aggregate data or standard reports |
| | Cannot obtain any information |
| | Do not use this type of information |

Comments:

## SECTION 3. Key Definitions and Reporting Conventions

Please provide answers to the following questions about how you define terms or data elements, or point us to a weblink where we can find definitions.

**Definitions of Credentials**

How do you define the following (e.g. number of credits, length of time, content, etc.)?

Degrees (AA, AS, AAS, etc.)

Certificates

Diplomas

Other Awards (list as needed):

Source/Location for Definitions (provide URL or documents):

Do you award or recognize for reporting purposes any "milestones" for student progress that are short of credentials such as "Marketable Skills," etc.?

| | | |
|---|---|---|
| | No | |
| | Yes<br>If yes, describe or give definitional link for each such milestone: | |
| | Have these milestones been verified or established on the basis of: | |
| | | Data on outcomes? |
| | | Consultation with employers? |
| | | Neither of the above |

## SECTION 4. Definitions of Populations

If you have any standard definitions of the following terms used to describe educational and/or workforce populations, please provide them or provide a web link where we can find them. These will usually be populations for which you regularly disaggregate information for reporting or analysis. If you do not use a given term, please indicate this, or provide the term that most closely corresponds to the term listed. Please feel free to add additional descriptors at the bottom of the list.

Non-Traditional Student:

Part Time Student:

First Time Student:

Degree Seeking Student:

Developmental/Remedial Student:

Non-Credit Student:

Adult Student:

Adult Literacy Student:

Occupational Student:

Academic Transfer Student:

Underserved Student:

Low Income Student:

High Need Student:

Single Parent:

Non-Native English Speaker:

Completer:
Successful Transfer to a Baccalaureate Institution:

Dropout or Leaver:

Is there anything else that you think we ought to know about how you organize your data or reporting systems?

We will contact you by telephone to discuss your answers to these questions, to determine goals for the site visit, and to otherwise plan how we can assist you.

Thank you very much.

# Appendix B

Alaska Data Systems Project, Interview Protocol, September 21 – 24, 2009

**ALASKA DATA SYSTEMS PROJECT**

**INTERVIEW PROTOCOL, SEPTEMBER 21-24, 2009**

Discussion of existing data elements (see attached list of generalized data elements), their definitions, and usage internally and externally.
How do you use/collect the social security number? Its connection to other identifiers (e.g., OASIS)?
What information (data or studies) would you consider to be most valuable/necessary for inclusion in a statewide longitudinal data system spanning K-12, postsecondary education, and workforce?
With what other units of state government do you currently share individual-level data? For what purpose? Is the sharing a regular exchange or is it episodic in response to a specific request?
What efforts have been made to date to link K-12 and UA students? How is that linkage accomplished?
From what sources do questions requiring your data originate?
What questions are posed to you that you are unable to answer given current data capacity? Or that present the greatest challenges in answering?
How do you track students/graduates out of Alaska? Returnees? In general, what have you done to match data with other states? For what purpose?
What is your understanding about your authority/ability to provide individual-level data to other units of state government?
Your state is currently developing a number of bi- and multi-lateral agreements (MOAs) that allow for data sharing to occur. What do you perceive as the advantages and disadvantages of this approach? What prevents these agreements from becoming permanent?
Any thoughts or feedback on the Winnick FERPA memo? Regarding governance?

**LIST OF GENERALIZED DATA ELEMENTS**

Identifier
Age
Gender
Race/ethnicity
Income
School/Institution
Term/Year
Student class level (e.g., freshman)
Enrollment status (e.g., full-time/part-time)
Remedial course placements, enrollment, and completion
County of origin
State of origin
Upper-level math course in HS
Upper-level science course in HS
AP Course
State exam score
GPA
Award completion (e.g., HS diploma, type and level of postsecondary degree)
Award date
Degree field of study
Employment status
Wages earned
Industry of employment
Occupation

# Appendix C

Memorandum of November 3, 2009 by Steven Y. Winnick

FERPA and State Privacy Laws Bearing on Development of Alaska's State Longitudinal Data System

EducationCounsel LLC
in affiliation with Nelson Mullins Riley & Scarborough LLP

# Memorandum

To: Diane M. Barrans, Executive Director
Alaska Commission on Postsecondary Education

cc: Brian T. Prescott, Director of Policy Research
Western Interstate Commission for Higher Education

From: Steven Y. Winnick

Date: November 3, 2009

Re: FERPA and State Privacy Laws Bearing on Development of Alaska's State Longitudinal Data System

As requested, this memorandum analyzes the Family Educational Rights and Privacy Act (FERPA)[1] and Alaska state privacy laws affecting student records and their implications for building and maintaining a state longitudinal data system (SLDS). It also provides recommended steps for the state to consider in complying with these provisions.

These issues take on special urgency given requirements in the State Fiscal Stabilization Fund (SFSF) of the American Recovery and Reinvestment Act of 2009 (ARRA). Under the SFSF, significant funding is being provided to states, principally for elementary, secondary, and postsecondary education, subject to assurances that must be provided by the state in four significant areas of education reform: raising K-12 standards and developing improved, aligned assessments; developing and equitably distributing effective K-12 teachers; intervening in struggling K-12 schools; and improving use of educational data through the development and administration of a SLDS that complies with all 12 elements of the America Competes Act.[2] Alaska filed an application for SFSF funds with the U.S. Department of Education (USED) that included these assurances.

[1] 20 U.S.C. 1232g.

[2] These data elements include, for pre-school through postsecondary education, a unique student identifier that does not permit a student to be identified by users of the system; the capacity to communicate between P-12 and postsecondary data systems; student-level enrollment, demographic, and program participation information; student-level information about the points at which students exit, transfer in or out, drop-out, or complete P-16 education programs; and an audit system assessing data quality, validity, and reliability. For pre-school through grade 12 education, these data elements include yearly state assessment records of individual students; information on students not tested by subject and grade; a teacher identification system with the ability to match teachers to students; student-level transcript information, including on courses completed and grades earned; and student-level college readiness test scores. For postsecondary education, the data elements include information on the extent to which students transition successfully from secondary school to postsecondary education, including whether students enroll in remedial course work; and other information determined necessary to address alignment and adequate preparation for success in postsecondary education.

USED released 2/3 of the funds available for the SFSF beginning in April 2009 based on a simplified application from each state. However, it published in the July 29 Federal Register proposed requirements for state applications to obtain the remaining 1/3 of SFSF funds. Under the proposed requirements, which were subject to public comment through August 28, 2009, states have until September 30, 2011, to adopt a SLDS that complies with all 12 elements of the America Competes Act. The SFSF notice also proposes to require that states report on whether they provide teachers with data on student performance that include estimates of individual teacher impact on student achievement in a manner that is timely and informs instruction.[3]

State progress and plans for adopting a SLDS are also core criteria for the competitive award of $4 billion in grants under the Race to the Top fund under the ARRA. The ARRA also provides $250 million for grants to support SLDSs, with the requirement that the system include K-12, postsecondary, and workforce data.

## I. Summary of Advice

As indicated below, Alaska law essentially incorporates FERPA and does not change FERPA requirements and authorized disclosures. FERPA thus dictates the legal framework respecting the privacy of student records maintained by an Alaska SLDS. Although FERPA has historically been narrowly interpreted by USED, and has had a chilling effect on the development of SLDSs, there is broad authority for Alaska to make policy decisions on the structure and functions of its SLDSs, consistent with FERPA. First, as has always been the case, the state data system can disclose for research, evaluation, and other purposes aggregate or de-identified data to other state agencies, to research organizations, and to the public. Second, particularly with changes made to FERPA regulations in December, 2009, it is clear that state data systems may use and redisclose to authorized recipients personally identifiable student records for the range of authorized disclosure purposes in FERPA, including evaluation of public postsecondary, elementary and secondary, and pre-school education. That includes sharing data for evaluation and research purposes between the P-12 and postsecondary SLDSs if the state elects to have separate SLDSs. While USED expressed constraining views on the scope of these disclosures in the preamble to the regulations, those views have no legal effect and are very likely to be reversed by the Obama Administration through new guidelines or regulations in the near future, in order to harmonize FERPA interpretations with the mandates of the SFSF.

The most significant constraint on disclosures related to core SLDS functions relates to disclosures to non-education state and local agencies (such as workforce or social service agencies) in order to evaluate or strengthen their non-education programs. Alaska may consider it important to share personally identifiable student information with social service

[3] 74 *Fed. Reg.* 37837 et seq. (July 29, 2009).

agencies that need to collaborate with the schools and education agencies in serving at risk students, and to coordinate workforce and education services and track students between these systems. Absent a statutory amendment to FERPA, disclosures between the SLDS and non-education agencies need to be made from the non-education agency to the SLDS, not vice versa, unless the purpose is to evaluate education programs. If the purpose is to evaluate education programs; for example, to evaluate how well schools prepared their students for the workforce, support for the disclosure would be strengthened by a state law, regulation, or executive order authorizing the non-education agency to serve as an authorized representative of the SLDS in evaluating education programs.

## II. Alaska State Law

With particular regard to Alaska state law, this memorandum should not be understood to provide specific legal advice. Rather, it is designed to provide general information that may be useful to state officials. Alaska officials should consult with attorneys in their own agencies or in the Office of the State Attorney General to obtain specific legal advice on state law.

The Alaska Constitution includes a right to privacy, which, with regard to the privacy of student records, is in effect implemented through statutes that expressly incorporate FERPA. Alaska's public records act generally provides for disclosure of public records, but enumerates several exceptions, including "records required to be kept confidential by a federal law or regulation or by state law" and "to the extent the records are required to be kept confidential under 20 U.S.C. 1232g [FERPA] and the regulations adopted under 20 U.S.C. 1232g in order to secure or retain federal assistance."[4] In addition, the Alaska Administrative Code does not allow disclosure of standards-based test results or high school graduation examination results except as provided by FERPA.[5] The Administrative Code further states that information specific to individual students contained in postsecondary institutional records protected under FERPA are not public.[6]

Alaska HB 65, enacted in 2008, includes some significant provisions on privacy that are not specifically targeted to students but that address some practices regarding data on individuals, including students. Much of the bill relates to use of data for financial purposes and would not apply to the SLDS. However, there are provisions that require reporting of security breaches that appear to apply to the SLDS, as well as provisions that require a government agency to take reasonable measures to protect against unauthorized access to or use of records containing personal information when disposing of the records. Apart from the requirement to report

[4] AS 40.25.120(a)(4)-(5).

[5] 4 ADC 06.738(a); 06.758.

[6] 20 AAC 17.910.

security breaches, these provisions would not appear to expand on FERPA requirements. HB 65 also includes limitations on requesting or disclosing social security numbers. There is a provision that permits requesting and disclosing social security numbers by government agencies if required by law or if necessary for government officials to carry out their functions. Our understanding from the Alaska Department of Law is that this provision would permit the SLDS to make a judgment that you need to use social security numbers to link student data across systems.[7] It is an issue on which you may want to regulate if you want to solidify a position that there is a need to use social security numbers for SLDS functions.

In sum, for purposes of the confidentiality and disclosure of student data by the SLDS, Alaska law does not appear to add to or change FERPA constraints on disclosures or the capacity of state agencies to establish and use a SLDS for core educational functions of such a system, consistent with FERPA. FERPA constraints, authorized disclosures, and other requirements generally constitute the legal framework for use and disclosure of student records by an Alaska SLDS.

## III. FERPA

### A. Background

The Family Educational Rights and Privacy Act (FERPA), which applies to educational agencies and institutions that receive grant funds from the U.S. Department of Education (USED), provides parents of students the right to inspect and to contest the contents of their education records maintained by an educational agency or institution.[8] More significantly for purposes of a SLDS, FERPA prohibits educational agencies and institutions from disclosing personally identifiable information from students' education records without written parental consent, unless the disclosure comes within one or more of a list of specifically authorized disclosures in the law.[9] If the data are not personally identifiable (for example, aggregate data) or are de-identified (for example, through the use of appropriate codes), FERPA is inapplicable and the data may be freely disclosed, including to the public.[10] Thus, a SLDS may

[7] Conversation with Ed Sniffen, Senior Assistant Attorney General, Alaska Department of Law, November 2, 2009.

[8] "Education records" are broadly defined to include records, files, documents, and other materials that contain information directly related to a student and that are maintained by an educational agency or institution or a person acting for it. 20 U.S.C. § 1232g(a)(4)(A).

[9] When a student has attained 18 years of age or is attending an institution of postsecondary education, the consent required of and the rights accorded to the parents are required of and accorded to the student. (hereinafter referred to as "eligible student") 20 U.S.C. § 1232g(d).

[10] "Personally identifiable information" is defined to include the student's name, address, date and place of birth, social security number or student number, parent's name and mother's maiden name, and other information that

freely disclose aggregate reports that do not permit identiication of individual students, such as reports on schools or districts. Note, however, that aggregate reports technically could include personally identifiable information; for example, if they include reports for very small cell sizes. Guidance on this issue is included in the preamble to the December 9, 2008, amendments to the FERPA regulations.[11] If small cell sizes make the data personally identifiable, that does not mean that the data may not be disclosed; rather, it means disclosure may only be made without written parental or eligible student consent if it comes within an authorized FERPA disclosure.

Under a 2002 decision of the U.S. Supreme Court,[12] there is no private right to sue for an alleged violation of FERPA. Rather, the potential sanction for a FERPA violation is a cut-off of federal funds from USED. However, that sanction may be applied only for a "policy or practice" of making unauthorized disclosures of education records, and FERPA requires USED to seek voluntary compliance before seeking a funding remedy.[13] With regard to recipients of disclosures from educational agencies and institutions – including SEAs and SLDSs -- the statutory sanction for making improper redisclosures is debarment from receiving further disclosures of education records from the educational agency or institution for a period of not less than five years.[14] In the thirty-five year history of FERPA, no federal funds have ever been withheld from an educational agency or institution for a FERPA violation, nor, to our knowledge, has any agency or organization been debarred from receiving education records under FERPA provisions.

While state educational agencies that maintain personally identifiable information derived from student records must provide access to that information at the request of a parent or eligible student, FERPA provisions on disclosures and use of student information relate directly to schools and local educational agencies (LEAs), not to state educational agencies (SEAs) or SLDSs. FERPA essentially defines education records as records maintained by a school or LEA and vest in those agencies the principal responsibility to safeguard the privacy of the records and make disclosures that are authorized by the law. The principal authorized disclosure to SEAs is the provision that authorizes disclosures to state education authorities or their authorized representatives for the purpose of evaluating or auditing federal or state-

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alone or in combination is linked or linkable to a specific student that would allow a reasonable person in the school community to identify the student with reasonable certainty. 34 CFR § 99.3.

[11] 73 *Fed. Reg.* 74835-36 (December 9, 2008).

[12] *Gonzaga University v. Doe*, 536 U.S. 273 (2002).

[13] 20 U.S.C. § 1232g(f).

[14] 20 U.S.C. § (b)(4)(B).

supported education programs or to ensure the compliance of programs with federal requirements.[15]

**B. Authorized SLDS Uses/Disclosures of Student Data Under FERPA**

Evaluation. A SLDS may use student data, including personally identifiable data, obtained from the education records of postsecondary institutions, schools or LEAs to evaluate federal and state-supported education programs. This provision has been interpreted by USED to permit state education officials to disclose education records to contractors to which these functions are outsourced.[16] The preamble to the recently issued FERPA regulatory amendments recognizes that "the term 'authorized representative'...includes an outside researcher working as a contractor of a State educational authority...that has outsourced the evaluation of Federal or State-supported education programs."[17] Moreover, the preamble to the recent regulations encourages states to use this disclosure provision to provide education records to private contractors for educational research/evaluation rather than disclosing education records to private research organizations under the research studies provision discussed below.[18] Nothing in the statute or regulations or in the discussion in the preamble to the recent regulation amendments requires the state to go back to schools or local school districts for their permission to make these disclosures. On the contrary, the preamble states that, unlike the research disclosure provision, "the [LEA] or postsecondary institution is not required to enter a written agreement for the . . .evaluation."[19] Thus, a SLDS may review and analyze student records for evaluation purposes through its own employees or through contractors.[20]

It is significant to note that USED has viewed the concept of evaluating federal and state-supported education programs for purposes of FERPA-authorized disclosures very broadly to encompass research related to the operation and improvement of public education programs. Indeed, USED's position is that this is a broader authority – "which can include a general range of research studies beyond the more limited group of studies specified" under the separate authorization of studies to improve instruction discussed below.[21]

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[15] 20 U.S.C. 1232g(b)(3)&(5).

[16] 34 CFR §§ 99.31(a)(3); 99.35.

[17] 73 Fed Reg. 74825.

[18] *Id.*

[19] *Id.*

[20] Sec. 444(b)(3) &(5) of GEPA; 34 CFR §§ 99.31, 99.35.

[21] 73 Fed. Reg. 74825 (Dec. 9, 2008).

There is an issue respecting the state's authority to disclose data for evaluation that may bear on the question of whether a state such as Alaska should seek to have a single, consolidated SLDS for P-16, or separate, linked systems for P-12 and postsecondary education. Prior FERPA regulations in effect permitted a SLDS to disclose education records only to its own employees or contractors. Disclosures between separate P- (or K-)12 and postsecondary state data systems would not be permitted. The December 9, 2008, FERPA regulation amendments clearly permit state education agencies to further disclose education records to other authorized recipients, including separate state data systems at different levels of education. The problem is that the preamble to the regulation amendments includes language suggesting that with regard to disclosures between separate P-12 and postsecondary data systems for evaluation or audit purposes, the system that receives the records must have authority and must use the records to evaluate the programs from which the records were obtained. In other words, a postsecondary data system could disclose education records to the P-12 system only if the P-12 system had authority and in fact used those records to evaluate postsecondary programs (and vice versa).

This issue would not arise if the data systems were consolidated as a single system. Nevertheless, this issue should not drive the decision on whether to have a consolidated system or separate but linked systems. The view expressed in the preamble limiting the scope of the evaluation is not supported by the FERPA law or the terms of the FERPA regulations. There is nothing in the law or regulations that limits disclosures of education records to state education authorities for evaluation purposes to evaluations of the specific level of education from which the records are derived.

It is very likely, in any event, that USED will shortly issue new regulations or guidance that reverses its prior, restrictive position. The subject statement in the preamble to the regulation amendments would frustrate a principal evaluation purpose for disclosing education records from a postsecondary institution or data system to a P-12 data system; namely, to determine if high schools and LEAs effectively prepared their graduates to enroll, persist, and succeed in postsecondary education. The provision of postsecondary student data to P-12 data systems may be vital in evaluating whether P-12 schools effectively prepared students for college, consistent with standards in the ARRA.

If the Alaska SLDS contracts with a private party to conduct an evaluation or assist it in an evaluation, the contract should include provisions that specify the evaluation purposes for which personally identifiable information from education records will be used by the contractor; limit disclosure of that information to employees of the SLDS or the contractor with a legitimate need to access the information to assist in carrying out those purposes; include appropriate provisions for electronic or administrative safeguards to protect against improper disclosure of the records, with appropriate provision for oversight or review by the SLDS; and provide for the return to the SLDS or destruction of the information once it is no

longer needed for the evaluation purposes.[22] There is no requirement to write a separate contract for each evaluation project. If the contractor will be conducting a series of ongoing evaluations, a single contract could be written to cover that situation. If Alaska adopts separate SLDSs for postsecondary data and for P-12 data, no contract or MOU is required to disclose data between the systems, since each is independently an authorized recipient of disclosures (or redisclosures) under FERPA. However, it may be advisable to have a simple MOU or provisions in state law or regulations that include the same kind of provisions that would be included in a private contract, as discussed above, particularly since some data exchanges may be for the purpose of assisting the disclosing SLDS in carrying out an evaluation.

Research Studies to Improve Instruction. In addition to the authorized disclosure in FERPA for evaluations, there is a separate authorized disclosure for research studies "for, or on behalf of" educational agencies or institutions to improve instruction. The disclosure provision for evaluations and the disclosure provision for research studies are essentially duplicative in scope, because USED has taken the position that the evaluation authority encompasses research to improve instruction. For reasons discussed below, the evaluation disclosure provison is the safer basis for a SLDS to disclose education records to contractors. On the other hand, there may be circumstances where the SLDS may want to consider a disclosure as being made under the research provision rather than the evaluation provision. That might be the case, for example, if the SLDS wanted to distance itself from the study, since reseach studies may include studies initiated by third party research organizations, whereas the evaluation authority generally would be understood to be for evaluations by the state itself or its authorized representatives. As a practical matter, this issue may be unlikely to arise, since the state, when it enters a contract, does not need to expressly invoke one or the other FERPA disclosure authority; it simply needs to be able to justify the contract and disclosures under it (if challenged) under one or both of these provisions. Nevertheless, this paragraph explains the possible option and risks of using the reseach studies provision if Alaska wants to pursue it.

As an initial matter, before addressing the authority to disclose education records for research studies, it should be noted that Alaska has the option generally or for particular research studies to de-identify the records and disclose them to researchers as non-personally identifiable information that is not subject to FERPA. Under the FERPA regulation amendments issued December 9, 2008, data may be used for research as de-identified data by attaching a code to each record that permits matching of information, provided information on how the code was created or that would allow identification of the student is not disclosed, the code is not used for other purposes, and the code is not based on a student's social security number or other personal information. One option for Alaska is to code student data pursuant to these provisions to permit research using de-identified student information.

[22] These contractual provisions are not expressly prescribed in the regulations, but they reflect USED preambulatory guidance on appropriate contractual controls in circumstances where states contract with private contractors for evaluation services, as well as informal guidance from USED. *See* letter to Raymund A, Paredes, Texas Higher Education Coordinating Board, & Robert Scott, TEA, from LeRoy Rooker, USED, April 15, 2008.

However, as noted above, there is also a separate, authorized disclosure in FERPA with potential relevance to SLDSs that provides for disclosures of personally identifiable information on students to organizations conducting studies "for, or on behalf of" an educational agency or institution to improve instruction.[23] We believe there is a strong argument that SEAs or SLDSs should be able to use this authority for research studies that use statewide student data maintained by the state. However, prior to the recent regulation amendments, USED interpreted this provision very narrowly to apply only to studies initiated by an educational agency or institution, not by a research organization.[24] The recent regulations expressly retreat from that interpretation,[25] and instead, substitute general standards to ensure proper use of the education records and a requirement that the educational agency or institution enter an agreement with the organization to which the records are disclosed specifying the purpose, scope, and duration of the study or studies; limiting use of the records for that purpose; and including other provisions to protect the records against further disclosure.[26]

However, the new regulations provide that the agreement must be entered by an educational agency or institution with the research organization; and existing regulations define "educational agency or institution" – for purposes of making disclosures – as a school or LEA, not a SEA.[27] Likewise, the preamble to the recent regulation amendments indicates that in general a state may not enter an agreement with a research organization for a study under the FERPA studies provision, unless it has authority under state law to enter contracts or agreements on behalf of educational agencies or institutions in its state.[28] In response to public comments encouraging broader authority for states to enter agreements authorizing use of education records maintained at the state level for research studies for or on behalf of schools and LEAs in their state, as indicated above, USED in the preamble instead encouraged states to effect these disclosures by use of the separate evaluation provisions in FERPA through contracts with private organizations.

We believe that USED's interpretation of the subject FERPA provision is overly narrow and that the law should be construed to permit states to disclose data to third parties for studies that are intended to benefit schools and local educational agencies in their state. This is one of the subjects for which the Data Quality Campaign, with our assistance, is working with USED to

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[23] Sec. 444(b)(1)(F) of GEPA; 34 CFR § 99.31(a)(6).

[24] 73 Fed. Reg. 74827 (December 9, 2008).

[25] *Id.*

[26] 34 CFR § 99.31(a)(6).

[27] 34 CFR §§ 99.3; 99.1(a); 99.10.

[28] 73 Fed. Reg, at 74826 (December 9, 2008).

seek greater flexibility. As matters stand, however, unless participating states have a law that authorizes state education authorities to enter contracts or agreements for schools or LEAs in the state -- and we are unaware of any such law in Alaska -- the authorized disclosure provision in FERPA for studies to improve instruction is not the safest basis for these disclosures. Rather, the disclosures instead may better rest on the state evaluation provisions in FERPA and the unambiguous right of the state, without school or local agency approval, to enter contracts with private organizations to carry out these functions. As noted above, this may not make a significant practical difference.

Disclosures to a Former School/LEA for Evaluation/Accountability. FERPA authorizes disclosure of education records to a new school that the student seeks or intends to attend. It does not generally authorize disclosures of education records to a student's former school. Thus, for example, it has been unclear whether a postsecondary institution or data system may disclose personally identifiable information on student postsecondary performance (such as the need for remedial courses and a student's academic persistence) back to the student's former high school or school district for evaluation or accountability purposes.

The ARRA requires all states, as a condition to receiving funds under the SFSF, to take steps to develop and implement college and career ready standards for their secondary schools and LEAs. Many states were moving to adopt such standards, even prior to enactment of the ARRA. The provision of postsecondary education records to high schools and LEAs may be very useful in measuring school and district performance under these standards and in evaluating specific programs, pathways, and supports in preparing students for postsecondary education. While some of these data can be usefully provided in aggregate or de-identified form, disclosures of personally identifiable data to the high school or LEA may be needed in order to link the data to the high school's or LEA's own education records in order to evaluate particular programs, pathways, and supports and to measure the effectiveness of different levels of and approaches to college preparation. There may be similar needs to disclose education records to a student's former school for evaluation purposes at other levels of education, including disclosures to a student's former pre-school program or elementary school (in those cases where a student may no longer be enrolled in the same LEA).

The preamble to the recent FERPA regulation amendments includes language that purports to rule out such disclosures. It includes some ambiguous language that may be read to suggest that state law may be revised to confer evaluation authority on a student's former district or school, but it strongly discourages this option. However, FERPA expressly authorizes disclosures to local educational officials, as well as state educational officials, for evaluation and audit of federally or state supported education programs and in connection with the enforcement of federal legal requirements that apply to those programs. In my view, school principals and teachers, as well as LEA officials, are local educational officials and may receive postsecondary education records for the purpose of evaluating how well they prepared students for college. Nothing in the FERPA law or regulations limits the definition of these

terms in a way that would exclude these officials. The only issue is that discussed above concerning the narrow view of the evaluation authority expressed in the preamble to the recent regulations to the effect that the evaluation must be of programs administered by the disclosing agency. As discussed above, there is no legal basis for that narrow view, and we expect that USED will reverse that position – as well as the narrow position on sharing data with former schools for evaluation purposes – in revised guidance or regulations in the near future.

Disclosures to Workforce and Social Service Agencies. FERPA does not generally authorize disclosures of education records to non-education state agencies, such as workforce and social service agencies, for purposes served by those agencies; for example, to evaluate or strengthen outcomes of workforce or social services. A statutory amendment to FERPA would be required to permit disclosures for these purposes. In addition, USED's position since 2003 has been that state education agencies cannot, for the purpose of evaluating, auditing, or conducting compliance activities related to education programs, disclose education records to state labor departments (or presumably to other non-education state agencies) because they do not have direct control of these other agencies and therefore cannot regard them as their representatives. (Memorandum from William D. Hansen, Deputy Secretary of Education, to state officials, January 30, 2003) To comply with this interpretation, states that wanted to link education and employment data for the purpose of evaluating education programs or informing education policy-making have had to do so by providing personally identifiable workforce or social services data to the state education agency to be matched to their own records.

In response to public comments on this issue, the preamble to the recent FERPA regulation amendments expressly declined to revise the Department's position that FERPA does not authorize disclosures of education records to non-education state agencies for the purpose of evaluating education programs.

We do not believe that the Department's current position is mandated by FERPA, nor do we believe that state education agencies may never have the same level of control over another state agency in using and analyzing data for education evaluation purposes that they have over private contractors. Just as the regulation amendments and consistent informal interpretation by the Department have permitted state education authorities to use private contractors as their authorized representatives to review and analyze education records for evaluation, audit, and compliance purposes, other state agencies should be able to perform these services for the state education agency.

FERPA does not prescribe which agencies or organizations may serve as an authorized representative of the state education agency, or whether that representative is a public or private agency or official. Rather, the pertinent FERPA questions are for what purpose the education record is used, and whether it is protected from further disclosure or non-authorized use. Those questions need to be determined on a case by case basis, not as a uniform, irrebuttable presumption that non-education state agencies may not perform this function. In

order for a state workforce or labor department to receive disclosures to link education and workforce data for the purpose of evaluating, auditing, or ensuring compliance for education programs, just as is the case for private contractors, there need to be controls to ensure that the information is used only for this purpose and is not further disclosed. Those safeguards may be embedded in state laws or regulations or in agreements or MOUs between the education and workforce or other agency.

In summary, the Alaska SLDS may not disclose personally identifiable information derived from education records to the Alaska workforce agency or generally to other social service agencies for the purpose of strengthening their non-educational services or for evaluating their programs. Those agencies, including the Alaska Department of Revenue, may transfer personally identifiable information on their clients to the SLDS for it to match those records with the education records and then report back non-identifiable aggregate data to the non-education agency. Other options would be for both the SLDS and the workforce or other agency to use a common contractor to match the data, or to detail employees of the workforce or other agency who analyze data for their agency to the SLDS to review and match the records under the supervision of the SLDS. With regard to the evaluation of education programs, if Alaska wanted to take the most conservative legal course, it would use these same practical options for matching and analyzing the data. On the other hand, we believe the state would be on solid legal ground under FERPA in disclosing education records to the workforce or other state agencies for the purpose of evaluating education programs, and it is very likely that USED will in the near future issue new guidance or regulations to clarify this point.

Directory information for states. Directory information is defined in FERPA to include information contained in a student's record that would not generally be considered harmful or an invasion of privacy if disclosed (including, for example, a student's name, address, date of birth, major field of study, grade level, enrollment status, participation in official school activities, degrees, honors, and awards received, and the most recent educational agency or institution attended).[29] An educational agency or institution may, at its election, designate some or all of this information as directory information available to the public without parental consent and notify parents of these designations. A parent has an opt-out right to advise the educational agency or institution that it may not disclose directory information relating to his/her child without parental consent.[30] Importantly, identification of directory information is unnecessary if education records are disclosed pursuant to another authorized disclosure (such as those for evaluation or research studies) in FERPA, and parents do not have an opt out right to prevent schools, LEAs, or SEAs from disclosing data pursuant to these authorizations.

[29] *Id.*

[30] 34 CFR § 99.37.

At the state level, the important point is that an SLDS cannot simply assume that personally identifiable data that fit into the cited categories of directory information may be disclosed or deem it to be disclosable directory information. Rather, if a state were interested in disclosing data on the basis that it is directory information, it would need to have (presumably electronic) systems to determine whether the data have been designated as directory information by the school or school district from which the data were obtained and, if so, whether parents exercised their opt out right to require that their written consent be obtained before disclosing the data. Also, the fact that the information may not be disclosed by the SLDS as directory information does not bar its disclosure pursuant to an authorized disclosure in the law, such as for evaluation purposes. A parent's or eligible student's election to opt out of the disclosure of directory information without written consent would not limit the authority of a SLDS to disclose personally identifiable data on the student under the provisions for evaluation or research. There is no opt out right that applies to these authorized disclosures.

One issue connected to directory information on which there has been significant confusion relates to social security numbers. USED recently amended the FERPA regulations to provide, among other things, that an educational agency or institution may not designate as directory information a student's social security number.[31] In addition, the regulations were amended to add a new subsection (d) to § 99.37, providing:

> "An educational agency or institution may not disclose or confirm directory information without meeting the written consent requirements . . .if a student's social security number or other non-directory information is used alone or combined with other data elements to identify or help identify the student or the student's records."

The preamble to the regulations explains, as the rationale for these regulatory changes, that social security numbers serve both to identify and authenticate identity of a student and because confirmation of information in education records is considered a disclosure under FERPA.[32] However, we believe it is clear that the rules on disclosure and confirmatory use of social security numbers applies only to the disclosure or identification of directory information:

- By their terms, both rules apply only to directory information. Also, both rules are included in definitions or regulatory sections that apply only to directory information.
- As USED acknowledges, it has no authority to regulate use of social security numbers beyond addressing whether such numbers are personally identifiable and whether they may be used in identifying or disclosing directory information.[33] USED, in fact, has no

[31] 34 CFR § 99.3.

[32] 73 Fed Reg 74809 (Dec. 9, 2008).

[33] ". . .there is no statutory authority under FERPA to prohibit an educational agency or institution from using SSNs as a student ID number, on academic transcripts, or to search an electronic database

authority to prohibit disclosure of certain forms of personally identifiable information that otherwise may come within a disclosure of personally identifiable information authorized in FERPA.

- The discussion in the preamble to the regulations of the costs and benefits of the regulations makes clear that the prohibition on the use of social security numbers to confirm directory information does not apply to disclosures that are authorized in FERPA:

> "...we note that this provision does not affect any activity that an educational agency or institution is permitted to perform under FERPA or other Federal law, such as using SSNs to identify students and confirm their enrollment status for student loan purposes, which is permitted without consent under the financial aid exception in [FERPA regulations]."[34]

The latter statement should apply with equal force to other authorized disclosures in FERPA, including the evaluation and research studies purposes of SLDSs.

In summary, students' social security numbers may not be disclosed by an educational agency or institution (or by a contractor or state educational authority) as "directory information," nor may social security numbers be used by an educational agency or institution (or by a contractor or state agency) to identify a student who is the subject of a request for directory information. However, a social security number may be disclosed and may be used to identify a student who is the subject of a data request if the disclosure (or request for disclosure) comes within an authorized disclosure of personally identifiable information in FERPA. Thus, for example, students' social security numbers may be used for disclosure and identification purposes incidental to the evaluation purposes described above.

Other Disclosures. Prior to the recent regulation amendments, USED took the position that state educational authorities that received education records from educational agencies and institutions for evaluation purposes had to return the records to the educational agency or institution from which they were obtained or destroy them, and could not further disclose them. However, the recent regulations revise that interpretation and permit state education authorities to make redisclosures for authorized disclosure purposes in FERPA. Thus, with the possible exception of the research studies disclosure provision, which USED generally has interpreted to be limited to studies authorized by a school or local educational agency, a state education agency or SLDS is authorized to redisclose student data to recipients and for purposes that come within authorized disclosures in FERPA. There is a long list of these

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so long as the agency or institution does not disclose the SSN in violation of FERPA requirements." *Id.* at 74808.

[34] *Id.* at 74846.

authorized disclosures in FERPA, including, for example, officials of other schools in which a student seeks to enroll, subject to parent notification and the right to contest the content of the record (20 U.S.C. 1232g(b)(1)(B); representatives of the Attorney General for law enforcement purposes (20 U.S.C. 1232g(b)(1)(C); organizations conducting studies on behalf of LEAs or schools for the purpose of developing, validating, or administering predictive tests or administering student aid programs, subject to the destruction of the records when no longer needed (20 U.S.C. 1232g(b)(1)(F); accrediting organizations in order to carry out their accrediting functions (20 U.S.C. 1232g(b)(1)(G); in connection with an emergency, appropriate persons if necessary to protect the health or safety of the student or other persons (20 U.S.C. 1232g(b)(1)(I); in connection with a student's application or receipt of financial aid (20 U.S.C. 1232g(b)(1)(D); in compliance with a judicial order or pursuant to any lawfully issued subpoena, upon condition that parents and the students are notified in advance of compliance therewith by the educational agency or institution, or pursuant to an ex parte order obtained by the Attorney General under the USA Patriot Act. 20 U.S.C. 1232g(b)(2)(B).

## IV. Recommended Steps for Alaska to Consider

In light of FERPA and state law provisions that incorporate FERPA, Alaska officials should address the following issues and consider taking the following actions, to the extent that these issues/steps have not already been addressed or taken:

1. Decide how to structure State Data Systems. The principal issue is whether to adopt a consolidated SLDS for pre-K through postsecondary education or to have separate, interoperable SLDSs for these levels of education. As discussed above, having one consolidated system avoids one issue regarding the scope of the authority to disclose documents from one system to another for evaluation purposes. It also avoids having to record disclosures which would be required when data are disclosed between separate P-12 and Postsecondary Data systems. However, this structural decision should be made based on education administrative policies and needs, and the level of support or resistance within the state regarding these options, not based on FERPA. As noted above, the issue regarding the scope of the FERPA disclosure authority for evaluation should not stand in the way of disclosing data between separate P-12 and postsecondary data systems for broad evaluation purposes. We expect that clarification on this issue should be provided by USED in the near future. Even in the absence of that clarification, nothing in the FERPA statute or regulations constrains the authority to disclose education records between separate SLDSs for evaluations at any level of education. Similarly, as explained below, the recent FERPA regulation amendments simplify the burden of recording redisclosures by state agencies, so this need should not drive the decision between having a consolidated SLDS or separate SLDSs for P-12 and postsecondary education.

2. Review and make appropriate modifications to the data governance policy. The state should review and make appropriate revisions to its overall data governance policy addressing who controls decisions on how to use data and disclosures; stakeholder input into the system; interoperability with the systems of individual school and local systems and with the systems of other state agencies; policies for promoting use by policy-makers and by teachers for instructional purposes, including programs to educate and train appropriate users on use of the system and, if desired by the state, the development of a proactive evaluation or research agenda to use data in the system.

3. Adopt state laws, regulations, or executive orders that –

- Authorize the SLDS to redisclose education records for FERPA-authorized purposes and recipients. This action may be helpful to clarify that individual schools or LEAs from which the data are obtained may not prevent the SLDS from making these redisclosures. Absent such action, it is possible that schools or LEAs could argue, based on language in the preamble to the recent FERPA regulation amendments, that state redisclosures are made on their behalf, and they can withdraw that authority from the state.

- Assuming Alaska retains separate P-12 and postsecondary SLDSs, authorize each system to receive education records from the other system and/or from individual schools or LEAs for purposes of evaluating, auditing, or ensuring compliance with the requirements of state and federal education grant programs. Make it clear that the evaluation authority encompasses evaluations of programs at all levels of education. These provisions may be unnecessary if USED reverses its informal position limiting the scope of the evaluation disclosure provision to programs of the disclosing agency. However, absent such clarification, this provision would be helpful to avoid any question on this issue.

- Authorize postsecondary institutions and the postsecondary or consolidated SLDS to disclose education records to a student's former secondary school or school district. The principal purpose of these disclosures presumably would be to enable school districts and secondary schools to evaluate how well they are preparing their students for college, including the possibility of assessing different pathways and programs in meeting this purpose. While, as discussed above, USED expressed a negative view towards these disclosures, we view these disclosures as authorized under the law and regulations. Inclusion of these provisions in state law would essentially eliminate the small risk that USED would seek to challenge these disclosures.

- Designate the state workforce agency and/or social service or health agencies as authorized representatives of the state education agency for the purpose of receiving

education records to evaluate/audit education programs. [35] Such laws would make it very difficult for USED to challenge disclosure of data to workforce (or other state) agencies for the purpose of evaluating and improving education programs. As noted above, USED is likely to revise its view that these disclosures may not be made in the near future, but the proposed state law provisions would solidify the state's authority to make these disclosures.

- Authorize the SLDS to enter agreements for research studies to improve instruction for or on behalf of postsecondary institutions, elementary and secondary schools, LEAs, and pre-schools. Because the state's authority to enter contracts for evaluation of education programs and disclose education records under the contracts is essentially co-extensive with the authority to enter contracts for research studies and disclose data under the research contracts, these state law provisions may not be necessary. However, use of the research studies provision in FERPA -- as opposed to the evaluation authority -- may permit disclosure of data for research studies with which the state may not want to be directly associated, although the studies may have potential benefits for the state and its schools. Also, if a research study relates directly to how well public programs are functioning, the state should use the evaluation authority for the disclosures to a contractor, but it may want the authority to disclose data for research studies initiated by other organizations that may not directly relate to current state programs but that may benefit schools or districts in the state. If so, this amendment to state law may be useful for that purpose.

4. Enter agreements between state agencies to participate in the SLDS, including separate P-12 and postsecondary SLDS's and including the state workforce agency, state health agency, and state social service agencies, as deemed appropriate by the state, providing for appropriate sharing of data, and providing that personally identifiable data derived from student records may be shared only with employees or contractors with a need to know the information for evaluation purposes. These agreements may be bundled in multi-agency agreements and address the full range of data sharing contemplated by the agencies. In the case of the workforce agency (or other non-education agencies), if data are to be used to strengthen workforce services or evaluate workforce programs, provide for personally identifiable data on workforce clients to be disclosed from the workforce agency to the SLDS, which will match workforce and education records and provide aggregate or summary data to the workforce agency based on its analysis. Alternatively, consider having both the SLDS and the workforce agency contract with the same private contractor to match and analyze the data, or, if it is most efficient and effective for workforce agency employees to match and analyze the records, detail workforce agency employees to the SLDS to perform these functions under the supervision of the SLDS. Of course, to the

[35] Note that FERPA, not HIPAA, would govern the disclosure of health records that are maintained as education records by educational agencies or institutions.

extent that the SLDS-workforce evaluation and related needs may be met with information that is not personally identifiable, establish procedures for sharing information on that basis, including possible coding of data so that it is not identifiable.

5. Subject to the state law recommendation above regarding research studies, develop policies, procedures, and a model agreement to authorize studies to improve instruction. The policies should encompass studies that would benefit instruction in postsecondary institutions, elementary/secondary schools (or LEAs), or pre-school programs in the state at any of these education levels, not just studies to improve instruction in a particular LEA or school.

6. Develop appropriate standards and a process to determine whether data are de-identified and to code data for research purposes, if the state wishes to pursue that option.

7. Develop and issue procedures for recording redisclosures and for transmitting recordations to postsecondary institutions, schools, or school districts upon request. FERPA generally requires that when personally identifiable information is disclosed from an education record, that disclosure must be recorded, indicating the recipient of the disclosure and the authorized basis for making the disclosure. Recordations of disclosures made by a school or LEA must be kept with the student's individual records and disclosed to the parent or eligible student upon request. However, the December 9 FERPA regulation amendments include provisions to simplify recordations for state agencies that redisclose education records. Under these provisions, the state may record redisclosures by groups, schools, or grades. For example, if a P-12 SLDS discloses the records of all grade 12 students on a statewide basis, or for an entire district or school, it can make one recordation of that group disclosure. If a school or LEA requested recordations of any redisclosures for a particular student within the group, presumably based on a request by the parent or eligible student, the SLDS would have to be able to link that student to the group redisclosure and provide the applicable information to the school or LEA regarding the redisclosure. The SLDS needs to have (presumably electronic) capacity to track the redisclosures to be able to respond to these requests and procedures for making the recordations and responding to the requests.

## VI. Conclusion

Privacy protections under FERPA may be harmonized with the essential functional needs of Alaska data systems. Alaska has significant latitude in the use of student records to meet its educational needs, consistent with its own policies on how conservative or aggressive it wants to be in using personally identifiable data for educational purposes. On the one hand, it may rely largely on aggregate data and on a process to disclose data for research and evaluation

only after it has been coded, and thereby de-identified. On the other hand, consistent with FERPA, it may use and disclose personally identifiable data from students' education records for these purposes. The steps outlined above can solidify compliance of these systems with applicable privacy laws. We would be happy to discuss the information and advice provided in this memorandum.

~Doc# 58701.1 - 11/3/2009 3:34:17 PM~

STATE OF ALASKA
DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT
*ADMINISTRATIVE SERVICES DIVISION*
*Research and Analysis Section*

***SARAH PALIN, GOVERNOR***

P.O. BOX 115501
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COPY

May 17, 2007

Gwendolyn White
Institutional Research & Planning
University of Alaska System Office
PO Box 755260
Fairbanks, AK 99775-5260

Dear Ms. White,

Enclosed are the Alaska Department of Labor and Workforce Development's signed memoranda of understanding for data sharing between our Research and Analysis Section and the University of Alaska. If you have questions regarding these MOUs, please contact Jeff Hadland, senior economist, at 907.465.6031 or jeff_hadland@labor.state.ak.us.

Sincerely,

Brynn Keith, Chief
Research & Analysis Section
Alaska Department of Labor & Workforce Development

**Memorandum of Understanding**

between

Alaska Department of Labor and Workforce Development, Research and Analysis

and University of Alaska Statewide Institutional Research and Planning (SWIRP)

The University of Alaska Statewide Institutional Research and Planning (SWIRP) enters into this Memorandum of Understanding with the Alaska Department of Labor and Workforce Development (DOLWD) for a computer match of each party's records so that the DOLWD may obtain information from the University necessary to comply with Perkins III, AEFLA and WIA reporting requirements, while at the same time maintaining FERPA privacy protections. For purposes of such reporting requirements, FERPA requires that the information from education records be protected in a manner that does not permit personal identification of individuals by anyone except the officials of the University. Therefore, no personally identifiable information from education records will be disclosed to DOLWD under this MOU.

The University of Alaska will be permitted to oversee any computer match with its education records to ensure that such match(es) are carried out consistent with FERPA requirements. Computer matches conducted at DOLWD will be conducted by a party under the direct control of the University.

**Confidentiality**

Both parties will assure that data is protected so that information that may identify an individual is kept confidential as required by law. Each party shall require each employee and official authorized to have access to such individual information to sign an agreement to keep such individual data confidential; indicating that failure to do so may result in discipline up to and including termination, and may subject the employee to civil liability. Individual data will be stored in accordance with each party's established procedures for protecting confidential data. Results will be reported in aggregate, if necessary, and reports will suppress data to ensure confidentiality.

The parties agree that their records contain confidential information which is protected under federal or other law. In this regard, each party agrees that it is of the highest importance to limit access to, and to prevent unauthorized or public disclosure of, social security numbers and other personally identifiable information. The parties agree confidential records will be used only for the purposes outlined in this agreement.

By signing below each party acknowledges, understand, and agrees to the terms of this Memorandum of Understanding.

University of Alaska Office of Institutional Research and Planning
Office of the President
Mark Hamilton, President

_____ _____
Date

Department of Labor & Workforce Development
Commissioner

_____ 5/16/2007
Date

Memorandum of Agreement

between

Alaska Department of Labor and Workforce Development, Research and Analysis

and University of Alaska Statewide Institutional Research and Planning (SWIRP)

The University of Alaska Statewide Institutional Research and Planning (SWIRP), enters into this Memorandum of Agreement with the Alaska Department of Labor and Workforce Development (DOLWD) Research and Analysis (R&A) section. SWIRP will contract with DOLWD through an RSA for R&A services including matching university program participants, graduates and employed with unemployment insurance wage records and PFD records; preparing summary reports indicating Alaska residency, employment status, occupation and average quarterly earnings, in addition to ad hoc information as requested.

The study will require the disclosure of personally identifiable information from education records to DOLWD. FERPA permits disclosure to organizations conducting studies for, or on behalf of, educational agencies or institutions for the purpose of improving instruction. The purpose of the University of Alaska's study is to improve instruction. UA participant and graduate state residency and in-state employment information is necessary for academic program outcomes assessment. Information about the employability and pay of UA course participants and program graduates is used as evidence in the ongoing assessment and improvement of course and program curriculums and instructional activities.

The University database will be matched with DOLWD's information from employment and permanent fund dividend databases. The study will be conducted in a manner that will not permit personal identification of students by individuals other than representatives of the organizations as described above. Information from student records will not be redisclosed in personally identifiable form except in accordance with FERPA requirements, and will be destroyed when no longer needed for the purposes of the study. Reports will be summarized to a level such that individuals cannot be identified.

Confidentiality

Both parties will assure that data is protected so that information that may identify an individual is kept confidential as required by law. The parties shall limit access to personally identifiable information from education records to assure that only authorized officials and employees shall have access to such confidential data. Each party shall require each employee and official authorized to have access to such individual information to sign an agreement to keep such individual data confidential; indicating that failure to do so may result in discipline up to and including termination, and may subject the employee to civil liability. Individual data will be stored in accordance with each party's established procedures for protecting confidential data. Results will be reported in aggregate, if necessary, and reports will suppress data to ensure confidentiality.

The parties agree that records may contain confidential information which is protected under federal or other law. In this regard, each party agrees that it is of the highest importance to limit access to, and to

prevent unauthorized or public disclosure of, social security numbers and other personally identifiable information from education records.

The parties agree confidential records will be used only for the purposes outlined in this agreement.

By signing below each party acknowledges, understand, and agrees to the terms of this Memorandum of Agreement.

University of Alaska Office of Institutional Research and Planning
Office of the President
Mark Hamilton, President

_____ _____
Date

Department of Labor & Workforce Development
Commissioner

_____ 5/16/2007
Date

# Memorandum of Agreement
between
## Alaska Department of Health & Social Services
## Division of Public Assistance (DPA)
and
## Alaska Department of Labor & Workforce Development
## Division of Administrative Services
## Research & Analysis Section (R&A)

## I. Purpose

This Memorandum of Agreement is made and entered into by the Alaska Department of Health & Social Services, Division of Public Assistance (DPA), and the Alaska Department of Labor & Workforce Development, Division of Administrative Services, Research & Analysis Section (R&A). The purpose of this Agreement is to authorize the match of information about families receiving services from DPA's Temporary Assistance (TA) and Food Stamps (FS) programs with the Unemployment Insurance Wage records in order to evaluate the impact of service delivery to these families as authorized under AS 47.27.055 and 7 CFR 272.1(c) and to assist R&A in reporting federally required aggregate information for the Carl D. Perkins Vocational and Technical Education Act (Perkins III).

## II. Uses of Information Match

The information match of Temporary Assistance and Food Stamps recipients with the Unemployment Insurance Wage records allows the production of regular and ad-hoc reports. The reports include aggregate information only regarding job-entries, earnings, job retention, job advancement, occupations, industries, areas employed, and top employers. Aggregate information is data that has been stripped of any information that would identify the individual(s) to whom the data pertains, including but not limited to name, Social Security Number, case number, and client identification number, and that has been aggregated into a group(s) containing no fewer than five records.

A. This information facilitates Temporary Assistance and Food Stamps program evaluation and planning in the following ways:

1. Identifies policies and services that lead to the greatest earnings and earnings gains.
2. Identifies industries and occupations in different areas that provide the greatest potential for job entries, earnings, retention, and advancement.
3. Identifies the top Alaska employers of Temporary Assistance and Food Stamps recipients for recognition and referral.
4. Monitors performance on federal and state outcomes.

B. The Division of Public Assistance is subject to strict prohibitions in law and regulation that prevent release of information concerning persons applying for or receiving assistance from the Temporary Assistance and Food Stamps Programs, except for purposes directly connected with the administration of these programs. The information match of Temporary Assistance and Food Stamps families with UI Wage records is directly connected with the administration of the programs since it allows evaluation of policies and services that support recipients' efforts toward self-sufficiency.

C. Specific uses of the information exchanged include the following:

1. A quarterly report ranking industries, occupations, and employers of current and former TA and FS recipients by new hires, wages, retention, and advancement by area.
2. Assist DOL in annual reporting required by section 113 of Carl D. Perkins Vocational and Technical Education Act (Perkins III) regarding employment placement and retention of TA students.
3. Monitor federal High Performance Bonus measures.
4. Report to the Legislature regarding State employment outcomes.
5. Evaluate outcomes of families transitioning from welfare to work.
6. Ad hoc reports as requested.

## III. Responsibilities

A. Both agencies agree to provide identifying and program information for electronic data matching to obtain data sets on shared clients.

1. Electronic exchange of data will occur at least quarterly, and can occur more frequently if needed for special projects.
2. DPA will provide data from the DPA Eligibility Information System that includes identifying and program information for individuals and families receiving Temporary Assistance and Food Stamps benefits and services.
3. R&A will provide data from the Unemployment Insurance Wage Records database that includes identifying and program information for individuals in the UI records database.
4. R&A will match the data sets and provide aggregate information to DPA.

B. Both agencies agree to safeguard matched client information via the following means:

1. Client information will be available only to DPA/R&A staff directly involved in matching data.
2. Client information will be used and accessed only for the purposes outlined in this Agreement.

3. Client information will be handled and stored in a manner that safeguards client confidentiality and prevents access by unauthorized persons.
4. Client information that is not needed will be disposed of in a confidential manner.
5. Disclosure of client information to a third party is prohibited.
6. All personnel who have access to client information will be advised of its confidential nature, the necessary safeguards required protecting the information, and the penalties for wrongful disclosure.
7. To guarantee that all personal information obtained will be confidential and privileged communication, all personnel will comply with AS 47.27.055(b), which governs the disclosure of, and access to public assistance client information and records. (Attached as amendments to this agreement.)

C. R&A agrees not to publish DPA information obtained from the match or share it with a third party without express consent from DPA.

## IV. Effective Date, Amendment, Duration and Termination:

A. This Agreement is effective upon signature of the directors of DPA and R&A.

B. With mutual consent from both parties, this Agreement may be amended in writing.

C. This Agreement shall remain in effect until amended or revoked by both DPA and R&A.

The parties to the Agreement acknowledge the responsibilities specified above, and agree to accomplish this service in a mutually acceptable and efficient manner.

Remond Henderson 11/29/02
Remond Henderson, Director Date
Division of Administrative Services
Department of Labor & Workforce Development

Chris Ashenbrenner 11/26/02
Chris Ashenbrenner, Director Date
Division of Public Assistance
Department of Health & Social Services

Sec. 47.27.055. Agency collaboration.

(a) The department shall coordinate with other state agencies that provide assistance, benefits, or services to applicants that are eligible for and to participants in the Alaska temporary assistance program in order to facilitate the application for and delivery of assistance, benefits, or services to promote family self-sufficiency. Subject to appropriations, state agencies may locate their facilities and operations near each other in order to improve service delivery.

(b) The department may provide information received under this chapter to other state agencies in order to facilitate the delivery of services. Information received from an applicant for or participant in the Alaska temporary assistance program shall be treated as confidential by all state agencies that share the information under this section and is not open to public inspection or copying under AS 40.25.110 - 40.25.125. Misuse of public assistance lists or information is punishable as a violation of AS 47.05.030 .

Sec. 11.56.860. Misuse of confidential information.

(a) A person who is or has been a public servant commits the crime of misuse of confidential information if the person

(1) learns confidential information through employment as a public servant; and

(2) while in office or after leaving office, uses the confidential information for personal gain or in a manner not connected with the performance of official duties other than by giving sworn testimony or evidence in a legal proceeding in conformity with a court order.

(b) As used in this section, "confidential information" means information which has been classified confidential by law.

(c) Misuse of confidential information is a class A misdemeanor.

*Note: (A class A misdemeanor is punishable by a $5,000 fine and up to 1 year in jail.)*

# Memorandum of Agreement
between
## Alaska Department of Health & Social Services
## Division of Public Assistance (DPA)
and
## Alaska Department of Labor & Workforce Development
## Division of Administrative Services
## Research & Analysis Section (R&A)

## I. Purpose

This Memorandum of Agreement is made and entered into by the Alaska Department of Health & Social Services, Division of Public Assistance (DPA), and the Alaska Department of Labor & Workforce Development, Division of Administrative Services, Research & Analysis Section (R&A). The purpose of this Agreement is to authorize the match of information about families receiving services from DPA's Temporary Assistance (TA) and Food Stamps (FS) programs with the Unemployment Insurance Wage records in order to evaluate the impact of service delivery to these families as authorized under AS 47.27.055 and 7 CFR 272.1(c) and to assist R&A in reporting federally required aggregate information for the Carl D. Perkins Vocational and Technical Education Act (Perkins III).

## II. Uses of Information Match

The information match of Temporary Assistance and Food Stamps recipients with the Unemployment Insurance Wage records allows the production of regular and ad-hoc reports. The reports include aggregate information only regarding job-entries, earnings, job retention, job advancement, occupations, industries, areas employed, and top employers. Aggregate information is data that has been stripped of any information that would identify the individual(s) to whom the data pertains, including but not limited to name, Social Security Number, case number, and client identification number, and that has been aggregated into a group(s) containing no fewer than five records.

A. This information facilitates Temporary Assistance and Food Stamps program evaluation and planning in the following ways:

1. Identifies policies and services that lead to the greatest earnings and earnings gains.
2. Identifies industries and occupations in different areas that provide the greatest potential for job entries, earnings, retention, and advancement.
3. Identifies the top Alaska employers of Temporary Assistance and Food Stamps recipients for recognition and referral.
4. Monitors performance on federal and state outcomes.

B. The Division of Public Assistance is subject to strict prohibitions in law and regulation that prevent release of information concerning persons applying for or receiving assistance from the Temporary Assistance and Food Stamps Programs, except for purposes directly connected with the administration of these programs. The information match of Temporary Assistance and Food Stamps families with UI Wage records is directly connected with the administration of the programs since it allows evaluation of policies and services that support recipients' efforts toward self-sufficiency.

C. Specific uses of the information exchanged include the following:

1. A quarterly report ranking industries, occupations, and employers of current and former TA and FS recipients by new hires, wages, retention, and advancement by area.
2. Assist DOL in annual reporting required by section 113 of Carl D. Perkins Vocational and Technical Education Act (Perkins III) regarding employment placement and retention of TA students.
3. Monitor federal High Performance Bonus measures.
4. Report to the Legislature regarding State employment outcomes.
5. Evaluate outcomes of families transitioning from welfare to work.
6. Ad hoc reports as requested.

## III. Responsibilities

A. Both agencies agree to provide identifying and program information for electronic data matching to obtain data sets on shared clients.

1. Electronic exchange of data will occur at least quarterly, and can occur more frequently if needed for special projects.
2. DPA will provide data from the DPA Eligibility Information System that includes identifying and program information for individuals and families receiving Temporary Assistance and Food Stamps benefits and services.
3. R&A will provide data from the Unemployment Insurance Wage Records database that includes identifying and program information for individuals in the UI records database.
4. R&A will match the data sets and provide aggregate information to DPA.

B. Both agencies agree to safeguard matched client information via the following means:

1. Client information will be available only to DPA/R&A staff directly involved in matching data.
2. Client information will be used and accessed only for the purposes outlined in this Agreement.

3. Client information will be handled and stored in a manner that safeguards client confidentiality and prevents access by unauthorized persons.
4. Client information that is not needed will be disposed of in a confidential manner.
5. Disclosure of client information to a third party is prohibited.
6. All personnel who have access to client information will be advised of its confidential nature, the necessary safeguards required protecting the information, and the penalties for wrongful disclosure.
7. To guarantee that all personal information obtained will be confidential and privileged communication, all personnel will comply with AS 47.27.055(b), which governs the disclosure of, and access to public assistance client information and records. (Attached as amendments to this agreement.)

C. R&A agrees not to publish DPA information obtained from the match or share it with a third party without express consent from DPA.

## IV. Effective Date, Amendment, Duration and Termination:

A. This Agreement is effective upon signature of the directors of DPA and R&A.

B. With mutual consent from both parties, this Agreement may be amended in writing.

C. This Agreement shall remain in effect until amended or revoked by both DPA and R&A.

The parties to the Agreement acknowledge the responsibilities specified above, and agree to accomplish this service in a mutually acceptable and efficient manner.

Remond Henderson 11/29/02
Remond Henderson, Director Date
Division of Administrative Services
Department of Labor & Workforce Development

Chris Ashenbrenner 11/26/02
Chris Ashenbrenner, Director Date
Division of Public Assistance
Department of Health & Social Services

Sec. 47.27.055. Agency collaboration.

(a) The department shall coordinate with other state agencies that provide assistance, benefits, or services to applicants that are eligible for and to participants in the Alaska temporary assistance program in order to facilitate the application for and delivery of assistance, benefits, or services to promote family self-sufficiency. Subject to appropriations, state agencies may locate their facilities and operations near each other in order to improve service delivery.

(b) The department may provide information received under this chapter to other state agencies in order to facilitate the delivery of services. Information received from an applicant for or participant in the Alaska temporary assistance program shall be treated as confidential by all state agencies that share the information under this section and is not open to public inspection or copying under AS 40.25.110 - 40.25.125. Misuse of public assistance lists or information is punishable as a violation of AS 47.05.030 .

Sec. 11.56.860. Misuse of confidential information.

(a) A person who is or has been a public servant commits the crime of misuse of confidential information if the person

(1) learns confidential information through employment as a public servant; and

(2) while in office or after leaving office, uses the confidential information for personal gain or in a manner not connected with the performance of official duties other than by giving sworn testimony or evidence in a legal proceeding in conformity with a court order.

(b) As used in this section, "confidential information" means information which has been classified confidential by law.

(c) Misuse of confidential information is a class A misdemeanor.

*Note: (A class A misdemeanor is punishable by a $5,000 fine and up to 1 year in jail.)*

United States Senate
WASHINGTON, DC 20510

Alaska's ANSWERS

November 24, 2009

Dr. Tate Gould
Program Officer
Statewide Longitudinal Data Systems Grant Program
Department of Education
1990 K Street Northwest, Room 9023
Washington, D.C. 20006-1103

Dear Dr. Gould:

It has come to our attention the Alaska Department of Education and Early Development (EED) has submitted an application for the Statewide Longitudinal Data Systems (SLDS) grant program, which represents a committed partnership between EED, the Alaska Department of Labor, the University of Alaska, and the Alaska Commission on Postsecondary Education (ACPE). We respectfully request you review their application consistent with all laws, rules, and regulations.

As members of Alaska's Congressional delegation, we are deeply concerned about the well-being of Alaskan students and their families, especially with regard to the quality of our educational systems. Ensuring young adults are prepared to become productive and active participants in their communities and our workforce is essential to our state.

The project proposed in Alaska's grant application will help ensure Alaska's data system has the capacity to inform the development and deployment of efficient, effective services from our public education systems as well as the state agencies charged with fostering workforce readiness.

As former commissioners of the ACPE, we can personally attest to the unwavering focus of their services for the public good. We are also able to offer our assurance that the leaders of EED, Department of Labor, and the University of Alaska are equally committed to improving coordination between their agencies in order to better serve Alaskans. Having access to the information provided by the longitudinal P-20 data system will equip state leaders with information essential for best use, and accountability for, the investment of state and federal dollars.

I am confident you will give the application submitted by the Alaska Department of Education and Early Development all due consideration during the grants process. Please keep us informed as the review process continues.

Sincerely,

Lisa Murkowski
United States Senator

Mark Begich
United States Senator

STATE OF ALASKA
DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT
Alaska Workforce Investment Board

*Sean Parnell, Governor*

1016 W. 6th Avenue, Ste. 105
Anchorage, AK 99501

PHONE: (907) 269-7485
FAX: (907) 269-7489

October 30, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, D.C. 20006-5651

Dear Grant Review Committee:

I am pleased to write this letter of support for the Alaska Department of Education and Early Development's (EED) application for the Statewide Longitudinal Data Systems (SLDS) Grant, submitted on behalf of the partnership between EED, the Alaska Department of Labor and Workforce Development (DOLWD), the University of Alaska (UA), and the Alaska Commission on Postsecondary Education (ACPE).

As Executive Director of the Alaska Workforce Investment Board (AWIB), I can attest to the frequent need for accurate information about the job our public education and training providers are doing in preparing Alaskans to meet our state's workforce demands. Currently in Alaska there is a dearth of information that would assist us in measuring our current performance in this regard as well as assist us in making well-informed modifications and additions to relevant programs and services.

The proposed partnership between EED, DOLWD, UA, and ACPE to expand the longitudinal data system to include workforce data will ultimately enable state policymakers with the information needed to make efficient and wise use of public resources and to reach common goals that benefit our state's economy.

I urge your favorable action and thank you for your serious consideration of Alaska's grant application.

Sincerely,

Greg Cashen
Executive Director

cc: Clark Bishop, Commissioner, Alaska Department of Labor and Workforce Development
Diane Barrans, Executive Director, Alaska Commission on Postsecondary Education

Alaska's ANSWERS

# The CIRI Foundation

October 20, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

I am pleased to provide this letter in support of the Alaska Department of Education and Early Development's application for the Statewide Longitudinal Data Systems (SDLS) Grant.

Alaska presents unique challenges in geographical size and a widely distributed population. We have bustling urban centers with over 270,000 residents and remote, rural villages – some with fewer than 100 residents. We have a rich ethnic and cultural diversity, and a significant opportunity to develop a robust, college-going culture. Implementation of a statewide longitudinal data system will definitely enhance the connection between Alaskan educational partner agencies and better guide in the deployment of valuable resources.

For more than 25 years, The CIRI Foundation has focused our efforts to support Alaska Natives pursuing post-secondary educational opportunities. We are proud of our successes, but we also understand that we fit within a larger landscape of educational funders. Our ability to make well-informed decisions regarding our educational programs will benefit from a statewide longitudinal data system. It will also provide our partners and colleagues with accurate information from which to make recommendations to improve educational quality and enhance opportunities for students.

I know that creating this P-20 statewide longitudinal data system will improve efficiency and strengthen the connections between agencies and education systems across Alaska. Alaska's students, teachers, and communities will benefit significantly from this system.

Thank you for considering Alaska's SLDS grant application. I will be very glad to speak with you about this project if I can be of assistance.

Sincerely,

THE CIRI FOUNDATION

Susan A. Anderson, M.Ed.
President / CEO

3600 San Jeronimo Drive, Suite 256 • Anchorage, Alaska 99508-2870 • Tel 907.793.3575 • Fax 907.793.3585
Toll Free 800.764.3382 • www.thecirifoundation.org • ciri@thecirifoundation.org

First Alaskans Institute

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

I am pleased to provide this letter of support for the Alaska Department of education and Early Development's application for the Statewide Longitudinal Data Systems (SDLS) Grant.

Alaska faces unique challenges in geographical size, ethnic and cultural diversity, and, most seriously, its need for developing a college-going culture. Implementation of this statewide longitudinal data system will definitely enhance interagency information-sharing and deployment of valuable resources.

This data system could have far-reaching impact on the educational achievement level and success of Alaska's students. At the Alaska Native Policy Center, we have been involved with the development of other Department of Education data systems in an effort to make data more accessible, available, useable, and create efficiencies on behalf of our constituencies. We would be very interested in helping to shape, participate in and have access to the data system envisioned in this proposal because of its potential to be a great resource for furthering not only the mission and vision of our organization, but because of what a great resource it could be to improve the overall education system and experience here in Alaska.

I know that creating this P-20 statewide longitudinal data system will maximize efficiency and link previously isolated agencies and education systems across Alaska. Alaska's students, teachers, and communities will benefit enormously from this system.

Thank you for considering Alaska's SLDS grant application. I will be very glad to speak with you about this project if I can be of assistance.

Sincerely,

Elizabeth Medicine Crow *Tlingit/Haida*
Vice President, First Alaskans Institute
Director, Alaska Native Policy Center

606 E Street, Suite 200, Anchorage AK 99501 907.677.1700 firstalaskans.org

STATE CAPITOL
PO Box 110001
Juneau, Alaska 99811-0001
907-465-3500
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Governor Sean Parnell
STATE OF ALASKA

Alaska's ANSWERS
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www.gov.alaska.gov
Governor@alaska.gov

November 17, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street NW, Room 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members,

I am pleased to write this letter of support for the Alaska Department of Education and Early Development's (EED) application for the Statewide Longitudinal Data Systems (SLDS) Grant, which represents a committed partnership between EED, the Alaska Department of Labor, the University of Alaska, and the Alaska Commission on Postsecondary Education.

As Alaska's Governor, I am deeply concerned about the well-being of Alaska's students and their families, especially with regard to the quality of our educational systems from pre-school enrichment through postsecondary education, and our ability, as a state, to ensure that our young adults are prepared to become productive and active participants in their communities and our workforce.

I support this project to ensure that Alaska's data system is capable of efficiently and effectively leveraging the strong partnership between our public education systems and the State agencies most directly involved in early education and workforce readiness. The data gathered will satisfy information needs that serve various but related goals without duplicating efforts and adding administrative costs.

Having access to the information provided by the longitudinal P-20 data system will help both education and workforce administrators at the State level see more clearly where valuable State resources can best be utilized and subsequently be accountable for the outcomes related to the investment of both State and federal dollars.

I appreciate your consideration of Alaska's grant application. Feel free to contact me if there is anything additional I can do to make this valuable project become a reality.

Sincerely,

Sean Parnell
Governor

Alaska's ANSWERS

ILISAGVIK COLLEGE

October 14, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

I am pleased to provide this letter of support for the Alaska Department of Education and Early Development's application for the Statewide Longitudinal Data Systems (SDLS) Grant.

Alaska faces unique challenges in geographical size, ethnic and cultural diversity, and, most seriously, its need for developing a college-going culture. Implementation of this statewide longitudinal data system will definitely enhance interagency information-sharing and deployment of valuable resources. This alone would elicit my strong support for the project.

However, I feel certain that development of this data system will have a far-reaching impact on the educational achievement level and success of all Alaska's students. It will provide our educators and administrators excellent researched information from which to make recommendations that will significantly improve educational quality and opportunities for students, as well as help these administrators make the best use of resources and personnel. For example, research that indicates which early enrichment programs and challenging secondary curricula lead to greatest success in postsecondary education and the workplace will be invaluable when deciding which programs to support and fund.

I know that creating this P-20 statewide longitudinal data system will maximize efficiency and link previously isolated agencies and education systems across Alaska. Alaska's students, teachers, and communities will benefit enormously from this system.

Thank you for considering Alaska's SLDS grant application.

Sincerely,

Beverly Grinage

Beverly Patkotak Grinage
President, Ilisagvik College

P.O. Box 749 Barrow, Alaska 99723 907-852-3333 Fax 907-852-2729
Serving the Residents of the North Slope

UAA Institute of Social and Economic Research
Alaska's ANSWERS
University of Alaska Anchorage

College of Business and Public Policy · 3211 Providence Drive Anchorage, Alaska 99508

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

I am pleased to support for the Alaska Department of Education and Early Development's application for the Statewide Longitudinal Data Systems (SDLS) Grant.

Alaska faces unique challenges in educating our youth to succeed in today's world, among these our large size, many remote communities, and diverse linguistic and cultural populations. Our drop out rates are far too high, and too few students complete high school and go on to college or postsecondary training To address these issues successfully, our state must develop and evaluate effective public policies and educational initiatives aimed at improving our system, from early childhood education through graduate school. To do this, we need high-quality data.

ISER has analyzed existing data as part of our evaluation and research efforts for several federal grants addressing teacher recruitment and retention, and achievement and school performance issues. We have identified many additional analyses we would like to do, but the data either is not available or would be prohibitively expensive to collect and match. Implementation of this statewide longitudinal data system will definitely enhance our ability to conduct useful analyses, and support all state agencies' ability to work together effectively and efficiently.

Development of this data system will enable researchers and state agencies to provide Alaska's policymakers, educators and administrators with much needed information to inform their decisions. We believe this will lead to improved educational quality and increased opportunities for students, as well as the better use of resources and personnel in our institutions. For example, the new system will support research that indicates which early enrichment programs and challenging secondary curricula lead to greatest success in postsecondary education and the workplace, helping education policymakers determine which programs to support and fund.

The proposed P-20 statewide longitudinal data system will maximize efficiency and link previously isolated agencies and education systems across Alaska. Alaska's students, teachers, and communities all will benefit from this system.

Thank you for considering Alaska's SLDS grant application. I am happy to speak with you about this project if you have any questions.

Sincerely,

Stephen Colt
Interim Director, ISER

Telephone (907) 786.7710 • Fax (907) 786.7739 • www.iser.uaa.alaska.edu

Alaska's ANSWERS
JUNEAU SCHOOL DISTRICT
CITY AND BOROUGH OF JUNEAU

10014 CRAZY HORSE DRIVE • JUNEAU, ALASKA 99801-8529 • (907) 463-1700

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

On behalf of the Juneau School District I am writing this letter of support for the Alaska Department of Education and Early Development's application to create a statewide longitudinal data system. The Juneau School District will welcome the opportunity to access reports that will help evaluate and improve student performance in our district and plan our programs and needs based on long-range data.

Implementation of this P-20 data pipeline will greatly enhance our district's ability to evaluate and improve our programs in several important ways. First, it will help us link students' postsecondary decisions and success to their secondary coursework and grades earned; currently there is no viable means for us to access or analyze this information. Second, the ability to match teachers to students will enhance our ability to identify excellent teachers and utilize their skills and knowledge to help other teachers become more productive. Information available from wise use of this data system will streamline and improve our ability to make the choices that will maximize our often-limited district resources and personnel.

Thank you very much for your consideration of our state's application for this important grant. Please contact me if you have any questions or would like to discuss this with me.

Sincerely,

Philip Loseby
Office of Instructional Services
Assessment & Student Achievement

# STATE OF ALASKA

**Department of Education & Early Development**

*Office of the Commissioner*

SEAN PARNELL, GOVERNOR

*Goldbelt Place*
*801 West Tenth Street, Suite 200*
*P.O. Box 110500*
*Juneau, Alaska 99811-0500*
*(907) 465-2800*
*(907) 465-4156 Fax*


October 14, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm#9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

I am pleased to provide this letter of support for the Alaska Department of Education and Early Development's application for the Statewide Longitudinal Data Systems (SLDS) Grant.

Alaska faces unique challenges in geographical size, ethnic and cultural diversity, and most seriously, its need for developing a college-going culture. Implementation of this statewide longitudinal data system will definitely enhance interagency information-sharing and deployment of valuable resources. This alone would elicit my strong support for the project.

However, I feel certain that development of this data system will have a far-reaching impact on the educational achievement level and success of all Alaska's students. It will provide our educators and administrators excellent researched information from which to make recommendations that will significantly improve educational quality and opportunities for students, as well as help these administrators make the best use of resources and personnel. For example, research that indicates which early enrichment programs and challenging secondary curricula lead to greatest success in postsecondary education and the workplace will be invaluable when deciding which programs to support and fund.

I know that creating this P-20 statewide longitudinal data system will maximize efficiency and link previously isolated agencies and education systems across Alaska. Alaska's students, teachers, and communities will benefit enormously from this system.

Thank you for considering Alaska's SLDS grant application. I will be very glad to speak with you about this project if I can be of assistance.

Sincerely,

Larry LeDoux
Commissioner

Alaska's ANSWERS

# STATE OF ALASKA

*Sean Parnell, Governor*

**DEPARTMENT OF LABOR AND WORKFORCE DEVELOPMENT**

*OFFICE OF THE COMMISSIONER*

P. O. Box 111149
Juneau, AK 99811-1149
PHONE: (907) 465-2700
FAX: (907) 465-2784

October 27, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Room 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members,

I am pleased to provide this letter of support for the Alaska Department of Education and Early Development's application for the Statewide Longitudinal Data Systems (SDLS) grant. Alaska needs more information about the relative success of our secondary and postsecondary programs. This grant promises to build upon the existing relationships and make integrated data systems a reality.

Providing valuable education and training opportunities to Alaska's youth that lead to success in the workplace is one of my highest priorities as Commissioner of the Alaska Department of Labor and Workforce Development. During the last several years we have forged several individual data sharing agreements with the agencies involved in the SLDS proposal.

In a time of slow economic growth, strong competition in the workplace, and rapidly evolving skill sets required for career success, providing Alaska's youth with the skills they need to fill available jobs is critical. The development of major new projects in the state, such as an Alaska gasline, depend upon an education and training system that is nimble and focused on giving youth the skills that employer's demand.

Our proposed P-20 statewide longitudinal data system will maximize efficiency and link previously isolated agencies and education systems across Alaska. Alaska's students, teachers, and communities will benefit enormously from this system.

I have committed the resources of the Alaska Department of Labor and Workforce Development to the success of this proposal and urge your favorable consideration of Alaska's SLDS grant application.

Sincerely,

Clark Bishop
Commissioner

**State of Alaska**
Department of Revenue
*Commissioner's Office*

**SEAN PARNELL, GOVERNOR**
333 Willoughby Avenue, 11th Floor
P.O. Box 110400
Juneau, Alaska 99811-0405
Phone: (907) 465-2300
Fax: (907) 465-2394

October 16, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

I am pleased to write this letter of support for the Alaska Department of Education and Early Development's (EED) application for the Statewide Longitudinal Data Systems (SLDS) Grant, submitted on behalf of the partnership between EED, the Alaska Department of Labor, the University of Alaska (UA), and the Alaska Commission on Postsecondary Education (ACPE).

As Commissioner of Revenue for the State of Alaska, I can attest to the frequent need accurate information about the success of Alaska's education and workforce systems in terms of producing economically viable citizens equipped to meet our state workforce needs and to be productive members of society.

The proposed partnership between EED, AKDOL, UA, and ACPE to create the longitudinal data system will ultimately equip the state with the data to inform public policy and make efficient and wise use of public resources to reach common goals that benefit individuals and communities across the state.

I urge your favorable action and thank you for your serious consideration of Alaska's grant application.

Sincerely,

Pat Galvin
Commissioner

Mark R. Hamilton, President
Phone: (907) 450-8000
Fax: (907) 450-8012
EMAIL: sypres@alaska.edu

UNIVERSITY of ALASKA
*Many Traditions One Alaska*

Alaska's ANSWERS
202 Butrovich Building
910 Yukon Drive
P.O. Box 755000
Fairbanks, AK 99775-5000

November 19, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

I am pleased to write this letter of support for the Alaska Department of Education and Early Development's (EED's) application for the Statewide Longitudinal Data Systems (SLDS) Grant, submitted on behalf of the partnership the University of Alaska system (UA), EED, the Alaska Department of Labor, and the Alaska Commission on Postsecondary Education (ACPE).

As president of the UA system, I am especially supportive of this partnership between EED, AKDOL, UA, and ACPE to create the longitudinal data system because it will provide critically needed additional capacity for policy and operational research that does not currently exist.

Implementation of this data system will also vastly improve the tools available for the University of Alaska and Alaska school districts to make fully informed decisions. Although UA has a robust internal data for decision support, the available information is by no means sufficient to identify and make progress on key education issues facing the state, such as improving the college-going culture for young Alaskans.

In addition, analyzing the information provided by an overarching longitudinal P-20 data system will help administrators at the UA system see more clearly where state resources need to be used, and will help them create high-level sequential plans to prepare for future workforce needs.

Thank you for your serious consideration of Alaska's grant application. Please contact me if I can answer any questions or discuss this application with you.

Sincerely,

Mark R. Hamilton
President

WICHE Alaska's ANSWERS

Western Interstate Commission for Higher Education

3035 Center Green Drive Suite 200 Boulder, CO 80301-2204 303.541.0200 (ph) 303.541.0291 (fax)

November 11, 2009

Statewide Longitudinal Data Systems Grant Review Committee
Institute of Educational Sciences
National Center for Education Statistics
1990 K Street, NW, Rm. 9023
Washington, DC 20006-5651

Dear Statewide Longitudinal Data Systems Grant Review Committee Members:

I am pleased to provide this letter of support for the Alaska Department of Education and Early Development's (EED) application for the Statewide Longitudinal Data Systems (SLDS) Grant, which represents the next step in an evolving state partnership between EED, the Alaska Department of Labor, the University of Alaska, and the Alaska Commission on Postsecondary Education (ACPE).

As President of the Western Interstate Commission for Higher Education, an organization in which Alaska has been a member for more than 50 years, I am very familiar with the unique challenges this state faces in delivering value-added education and workforce development services to a relatively sparse population spread across the vast geographic expanse the size of one-third the continental United States. Given its challenging environment and the relative youth of its education delivery systems, the capacity to collect and analyze data related to their development of human capital is essential to their ability to identify and address gaps and shortcomings in those delivery systems, thus ensuring the quality of those systems from pre-school enrichment through postsecondary education.

Well in advance of the announcement relative to this grant opportunity, Alaska's key partners in this proposal were actively engaged in a WICHE-facilitated, multi-state meeting focused on removing barriers to improved use of education data. Alaska has been both deliberative and thoughtful in this effort by seeking to fully assess its current legal and data collection/management environment prior to any SLDS design activity. This grant opportunity is extremely timely and a related award would allow Alaska to design and deploy a longitudinal system that is sustainable beyond the grant period. It is even possible that this grant will facilitate Alaska's participation in a multi-state collaborative with other Western states.

I urge your favorable consideration of Alaska's grant application.

Sincerely,

David A. Longanecker
President

# Budget Narrative

## Budget Narrative - Budget Justification

Attachment 1:
Title: **Budget Narrative-Budget Justification_Alaska's ANSWERS** Pages: **21** Uploaded File:
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## Budget Narrative (Justification): Alaska's ANSWERS

The State of Alaska is requesting a total of $12,841,109 to be expended over a three-year period to implement a Statewide Longitudinal Data System (SLDS) that meets the seven capabilities and twelve elements required in the RFA for grant funds. Presentations from multiple potential vendors contributed to the estimates upon which this ANSWERS grant proposal is based. The costs given in the following tables represent the synthesis of cost information most appropriate to Alaska's specific situation and goals, recognizing that investment now in planning and design will result in significant long-term efficiencies and increased sustainability at lower costs. Based on prior experience, costs are reasonable for Alaska relative to the need to import contractual expertise from the Lower 48 and the generally higher costs, including travel expenses, when conducting business within the state.

The Alaska's ANSWERS budget narrative is structured around the five project outcomes and the development of a Project Management Office (PMO), as outlined in the Project Narrative. Overall outcome and PMO costs are tied to the budget detail presented in Section C (ED 424). The justification, including the need for equipment, supplies, travel and other related costs, is also presented by outcome, in addition to being supported by tables providing supplementary details. A significant amount of consideration has been given to the time commitments needed by project personnel, including contractual and consultant staff. Non-contractual staff information, including percentage of FTE, is presented under the section titled, Personnel. Contractual and consultant staff time commitments, rates of compensation, travel, per diem, and other relevant details, are given in the designated tables, by outcome and by project year.

Alaska's budget estimates include salary and expenses for current state employees, based on the efficiencies achieved by leveraging that existing expertise rather than attempting to re-create it in new positions. A percent of existing staff members' time is thus assigned to the grant project, but only when these duties will be directly related to the project and out of the norm of current responsibilities. The level of estimated funding requested also supports the contract costs for software licenses, hardware, and professional services, such as consultants and developers.

The budget estimates presented in this grant application are considered conservative and were based on discussions with vendors and an understanding of the Alaska marketplace. Recurring costs, such as annual software support and maintenance, have not been included in these estimates and will to be absorbed by the state.

The State of Alaska also proposes to contract for a third-party expert to complete a grant evaluation at the end of the project to ensure accountability and transparency of all grant funds that will help measure the success of the SLDS.

Estimated expenditures by year and by outcome are presented in the following table:

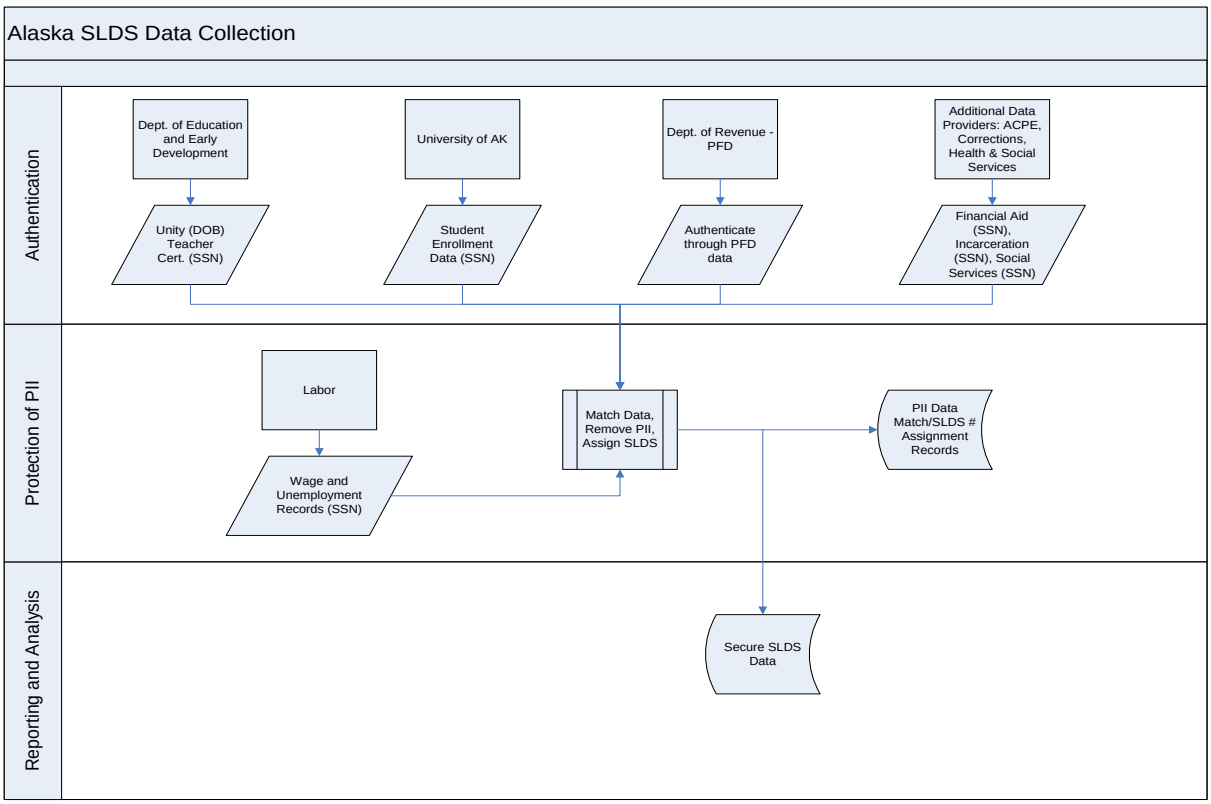
| Alaska's ANSWERS Budget Overview | | | | |
|---|---|---|---|---|
| **Outcomes/PMO** | **Year 1** | **Year 2** | **Year 3** | **Total** |
| P-12, Postsecondary and Workforce Data Matching | $4,747,953 | 132,377 | 134,938 | 5,015,268 |
| Expansion of P-12 Program Outcomes Data Collected | 209,670 | 642,335 | 145,054 | 997,059 |
| SLDS Data Audit System | 718,069 | 463,776 | 264,559 | 1,446,404 |
| Data Mart/Data Reporting Analysis System | 283,348 | 2,808,627 | 503,134 | 3,595,109 |
| Student Transcript/ Teacher Information Inclusion | 365,825 | 143,115 | 144,683 | 653,623 |
| Project Management Office (*) | 325,055 | 324,890 | 483,701 | 1,133,646 |
| **Totals** | **$6,649,920** | **4,515,120** | **1,676,069** | **12,841,109** |
| (*) Note: Project Management Office (PMO) is not an outcome. | | | | |

**Outcome I: P-12, Postsecondary, and Workforce Data Matching**

*Cost projection: $5,015,268*

*The duration for this effort is approximately 18 months.*

Grant funds are requested to create a new process matching the existing P-12 data with postsecondary education and workforce data in order to measure progress of students throughout the P-20 educational pipeline and into the workforce. This effort is the lynchpin upon which the data mart project, Outcome IV, is based: it requires detailed research, documentation and testing to ensure appropriate linkages are sustainable in perpetuity and are available to the SLDS, without compromising personally identifiable information (PII). It will also ensure the links and associated information are available in the most cost-efficient way while complying with a variety of applicable state and federal laws. The following diagram presents a schematic of the collection, matching and reporting process.




This matching process is critical to the core success of longitudinal education data relative to the ability to measure how students become more productive citizens of Alaska.

The following table lists the estimated total costs of Outcome I and the budget justification for each budget category:

| Category | Budget Justification | Cost |
|---|---|---|
| Personnel | Budgeted personnel costs for State of Alaska employees, based on percent of FTE as shown in the Personnel section of this narrative. | $284,252 |
| Fringe Benefits | Costs estimated using current State of Alaska benefit rates and health insurance costs (see Section C for formula). | 97,931 |
| Travel | The PMO will organize and disburse expenses for travel. | -- |
| Equipment | (Equipment to be purchased as part of contract). | -- |
| Supplies | Supply costs estimated at $5,000 annually, which includes office supplies and project documentation. | 15,000 |
| Contractual | A contract is to be awarded, based on vendor RFP responses, to design, develop and implement the P-12, Postsecondary, and Workforce Data Matching system. At a minimum, the vendor will be required to assess the data available from each agency against the type of information that is to be stored in the data mart, build and test data validation routines, build and test data loads into staging, prepare for load into data mart, build and test the data mart load process, and provide the necessary hardware to build the data staging and ETL platform. The vendor will be required to staff the project with the following resources: Solution Architect, Business Analysts, and Software Developer/ETL Engineers. | 4,618,085 |
| Construction | | -- |
| Other | | -- |
| | **TOTAL COST – OUTCOME I** | **$5,015,268** |

The following table lists project costs by budget category for each of the three project years:

| Category | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|
| Personnel | $92,881 | 94,738 | 96,633 | 284,252 |
| Fringe Benefits | 31,987 | 32,639 | 33,305 | 97,931 |
| Supplies | 5,000 | 5,000 | 5,000 | 15,000 |
| Contractual | 4,618,085 | -- | -- | 4,618,085 |
| **Totals** | **$4,747,953** | **132,377** | **134,938** | **5,015,268** |

**Outcome I – Contractual**

To accomplish Outcome I, the contractor will be required to build data staging and an ETL platform. In addition, the contractor will need to assess the data available against the type of information that will be stored in the data mart; this initial analysis will be done for all data sources. Specific to the data matching process, the contractor will, for each data source, remove all PII; build and test data validation routines; build and test data loads into staging; prepare data for loading into the data mart; and build and test the data mart load process. Contractual estimates indicate the duration of this phase will take 18 months to complete. The completion of these tasks will address a combination of Capabilities 1 – 4.

| Description | Contractual Resources | Duration | Cost – Yr 1 |
|---|---|---|---|
| Data matching, ETL, staging. Contractor will assign one business analyst and one developer to each data source and have them work concurrently on requirements gathering/construction/testing (teams will cover multiple data sources in order to balance workload). | 1 Project Manager<br>1 Solution Architect<br>3 Business Analysts<br>3 Software Developer/ETL Engineers | Full Time<br>Full Time<br>Full Time<br>Full Time<br>18 months | $3,421,440 |
| Additional consulting resources, accounting for scope changes, travel to Alaska, and management of unknown variables calculated as 30% of resource costs. | | 18 months | 1,026,432 |
| Equipment (See detailed listing and budget information in ED 524 – Section C). | | | 170,213 |
| | | **TOTAL CONTRACTUAL – OUTCOME I** | **$4,618,085** |

**<u>Outcome II: Expansion of P-12 Program Outcomes Data Collected</u>**

*Cost projection: $997,059*

*The duration for this effort is approximately 25 months.*

This project will allow Alaska to identify subpopulations that receive interventions or participate in a variety of programs, and compare success indicators (graduation rates, remediation rates, etc.) for these subpopulations to identify which programs and interventions generate the

desired results. This project further provides for measurement of the costs of failure of the education system to produce citizens prepared for economic success, by identifying populations more likely to experience dependence on receiving social services and those who have been in the State's correctional system, determining which programs are most efficient in preventing those outcomes, and the associated costs of returning those citizens to productive workforce status. Therefore, Outcome II will assist the State in measuring the success rates of special population groups and maximizing program efficiencies over time to close achievement gaps. Outcome II is a difficult effort, gathering information from discrete program-specific databases, some of which are maintained as spreadsheets or even as word processing documents at the local level, and either moving that data into the P-12 database, or developing an efficient, sustainable methodology to aggregate and disaggregate the data on demand, with appropriate internal controls.

| Category | Budget Justification | Cost |
|---|---|---|
| Personnel | Budgeted personnel costs for State of Alaska employees, based on percent of FTE as shown in the Personnel section of this narrative. | $301,701 |
| Fringe Benefits | Costs estimated using current State of Alaska benefit rates and health insurance costs (see Section C for formula). | 104,058 |
| Travel | The PMO will organize and disburse expenses for travel. | -- |
| Equipment | $150,000 for server, software and secure data transfer system upgrade, and $400,000 additional storage including system backups. | 550,000 |
| Supplies | Supply costs estimated at $5,000 annually, which includes office supplies and project documentation. | 15,000 |
| Contractual | A contractor will be required to complete programming necessary for increased P-12 outcomes data collection. | 26,300 |
| Construction | | -- |
| Other | | -- |
| | **TOTAL COST – OUTCOME II** | **$997,059** |

The following table lists project costs by budget category for each of the three project years:

| Category | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|
| Personnel | $98,582 | 100,554 | 102,565 | 301,701 |
| Fringe Benefits | 33,988 | 34,681 | 35,389 | 104,058 |
| Equipment | 50,000 | 500,000 | -- | 550,000 |
| Supplies | 5,000 | 5,000 | 5,000 | 15,000 |
| Contractual | 22,100 | 2,100 | 2,100 | 26,300 |
| **Totals** | **$209,670** | **642,335** | **145,054** | **997,059** |

**Outcome II – Contractual**

Contractual activities related to this outcome are limited to programming resources to develop and code methodologies to include program data from discrete databases at various agencies.

| Description | Contractual Resources | Duration | Cost - Yr 1-3 |
|---|---|---|---|
| Programming contract to achieve expansion of program data collection. There will be no additional costs for equipment, travel, per diem, supplies, etc. | 1 Programmer | Part Time<br>4-6 months | $26,300 |
| | | **TOTAL CONTRACTUAL – OUTCOME II** | **$26,300** |

**<u>Outcome III: SLDS Data Audit System</u>**

*Cost projection: $1,446,404*

*The duration for this effort is approximately 15 months.*

The requested grant funds will allow Alaska to create and document internal controls to ensure the integrity, validity and reliability of data from each of the data systems, as well as ensure the integrity, validity, and reliability of SLDS data reports and queries. Another important aspect of this project is to develop and deploy controls protecting PII while providing data for research and for queries requested by parents, teachers, and Alaska stakeholders. This will be accomplished by establishing specifications setting minimum reporting thresholds and limiting query combinations to prohibit deriving individual identities, either directly or indirectly. Appendix D presents the PII recommendations from the WICHE/NCHEMS report that will serve as a basis for Outcome III.

| Category | Budget Justification | Cost |
|---|---|---|
| Personnel | Budgeted personnel costs for State of Alaska employees, based on percent of FTE as shown in the Personnel section of this narrative. | $508,685 |
| Fringe Benefits | Costs estimated using current State of Alaska benefit rates and health insurance costs (see Section C for formula). | 169,824 |
| Travel | The PMO will organize and disburse expenses for travel. | -- |
| Equipment | | -- |
| Supplies | Supply costs estimated at $5,000 annually, which includes office supplies and project documentation. | 15,000 |
| Contractual | An RFP is to be awarded to design, develop and implement the Data Audit System. At a minimum, the vendor will be required to build auditing universe, and build audit reports (data integrity, system integrity, etc.). The vendor will be required to staff the project with the following resources: Business Analyst and Software Developer/Business Intelligence Engineer. | 752,895 |
| Construction | | -- |
| Other | | -- |
| | **TOTAL COST – OUTCOME III** | **$1,446,404** |

The following table lists project costs by budget category for each of the three project years:

| Category | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|
| Personnel | $163,387 | 166,655 | 178,643 | 508,685 |
| Fringe Benefits | 55,474 | 56,600 | 57,750 | 169,824 |
| Supplies | 5,000 | 5,000 | 5,000 | 15,000 |
| Contractual | 494,208 | 235,521 | 23,166 | 752,895 |
| **Totals** | **$718,069** | **463,776** | **264,559** | **1,446,404** |

**Outcome III – Contractual**

To build a comprehensive data audit system related to Outcome III, the contractor will be required to determine and document internal controls relative to data received from agency providers, develop data audits/internal controls to ensure that matches and linkages are valid and reliable, and develop specific controls relative to personally identifiable information to ensure maximum protection of such information. The contractor will additionally be required to examine and test reporting and queries to identify potential risks of individual student identification, both direct and indirect, and to develop and deploy prevention strategies.

| Description | Contractual Resources | Duration | Cost – Yr 2 |
|---|---|---|---|
| Determine and document internal controls, matching/linked data is valid and reliable, protect PII, build auditing universe, and build audit reports. | 1 Project Manager<br>1 Solution Architect<br>1 Business Analyst<br>Software Developer/BI Engineer | 50% Time<br>50% Time<br>50% Time<br>50% Time<br>4 months | $579,150 |
| Additional consulting resources, accounting for scope changes, travel to Alaska, and management of unknown variables calculated as 30% of resource costs. | | 4 months | 173,745 |
| **TOTAL CONTRACTUAL – OUTCOME III** | | | **$752,895** |

**Outcome IV: Data Mart/Data Reporting Analysis System**

*Cost projection: $3,595,109*

*The duration for this effort is approximately 36 months.*

Grant funds will allow Alaska to develop a robust data mart and reporting tool to capture SLDS data. Researchers and stakeholders with various permission levels will be able to view either generic aggregated public reports or be able to explore more in-depth program and policy questions, accessing data that are not available at this time. These queries will occur through a secure data environment for extract, transformation, and loading (ETL). The ETL will have standardized procedures to ensure reliability and validity of data provided by a variety of agencies; a model data storage structure; transformation and loading schemas for each agency/entity; and a secure location for extracted data with specific procedures to remove personally identifiable data from records.

This project will also allow for data mining and drill down capability to view unit level data (at the SLDS identification number level) through a secure environment, for users with appropriate permissions. Additionally, a metadata application will be developed to standardize data definitions among the multitude of data provider systems in order to provide the consistent data that will permit the ability to clearly follow students' education progression, from pre-kindergarten through workforce. Based on the reporting architecture initiated by the Unity project, the data mart project will use data extracts for cost efficiency and for minimizing the impact of data definition or architectural changes in the state's source systems. Each of these reporting efforts will be formed based on the data needs of stakeholders, solicited through public meetings to ensure data are captured in the system and made available through

standardized and ad hoc reports and queries on the Web. The costs for Outcome IV will include bringing together the various groups, such as parents, teachers, and other stakeholders, during the system design phase in order to define their security roles and access levels and to ensure identification and consideration of their needs. The Project Management Office will coordinate the travel costs associated with these meetings.

| Category | Budget Justification | Cost |
|---|---|---|
| Personnel | Budgeted personnel costs for State of Alaska employees, based on percent of FTE as shown in the Personnel section of this narrative. | $635,283 |
| Fringe Benefits | Costs estimated using current State of Alaska benefit rates and health insurance costs (see Section C for formula). | 216,643 |
| Travel | The PMO will organize and disburse expenses for travel. | -- |
| Equipment | | -- |
| Supplies | Supply costs estimated at $5,000 annually, which includes office supplies and project documentation. | 15,000 |
| Contractual | An RFP is to be awarded to design, develop and implement the Data Mart and Data Reporting Analysis System. At a minimum, the vendor will be required to design databases, build databases, build database maintenance jobs, build business objects reporting universe, and build reports. The vendor will be required to staff the project with the following resources: Solution Architect Business Analyst, and Software Developer/ETL Engineers. | 2,728,183 |
| Construction | | -- |
| Other | | -- |
| | **TOTAL COST – OUTCOME IV** | **$3,595,109** |

The following table lists project costs by budget category for each of the three project years:

| Category | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|
| Personnel | $207,582 | 211,733 | 215,968 | 635,283 |
| Fringe Benefits | 70,766 | 72,205 | 73,672 | 216,643 |
| Supplies | 5,000 | 5,000 | 5,000 | 15,000 |
| Contractual | -- | 2,519,689 | 208,494 | 2,728,183 |
| **Totals** | **$283,348** | **2,808,627** | **503,134** | **3,595,109** |

**Outcome IV – Contractual**

In order to accomplish Outcome IV, the contractor will be required to design the database, build the database, and also build the database maintenance jobs (indexes, partitions, etc.). Additionally, the contractor will be required to build the reporting and ad hoc query layer. Tasks associated with this phase include the need to build a business objects reporting universe and to build reports.

| Description | Contractual Resources | Duration | Cost - Yr 2-3 |
|---|---|---|---|
| Build the data mart. Some of the work in this phase can be concurrent with the other outcomes. Capabilities 4-6 will be covered in this phase. | 1 Project Manager<br>1 Solution Architect<br>1 Business Analyst<br>2 Software Developer/ETL Engineers | Full Time<br>Full Time<br>Full Time<br>Full Time<br>9 Months | $1,202,850 |
| Build the reporting/ad hoc query layer. This is work that can be started as soon as the database structures have been built. | 1 Project Manager<br>1 Solution Architect<br>1 Business Analyst<br>1 Software Developer/BI Engineer | Full Time<br>Full Time<br>Full Time<br>Full Time<br>4 months | 427,680 |
| Post-implementation support | 1 Project Manager<br>1 Solution Architect<br>1 Business Analyst<br>1 Software Developer/BI Engineer | 50% Full Time<br>50% Full Time<br>50% Full Time<br>50% Full Time<br>50% Full Time<br>3 months | 160,380 |
| Additional consulting resources, accounting for scope changes, travel to Alaska, and management of unknown variables calculated as 30% of resource costs. | | 4 months | 537,273 |
| Equipment (See detailed listing and budget information in ED 524 – Section C). | | | 400,000 |
| | | **TOTAL CONTRACTUAL – OUTCOME IV** | **$2,728,183** |

**Outcome V: Student Transcript/Teacher Information Inclusion**

*Cost projection: $653,623*

*The duration for this effort is approximately 24 months.*

The grant requested will provide Alaska with a student transcript/teacher information statewide matching and tracking process. The project will capture student-level transcript data from all school districts, including course numbers and grades earned and linking students to a specific teacher. One challenge specific to Alaska is the absence of common course numbering or naming at the K-12 level. To address that challenge, the SLDS will include crosswalks between course names at each district and a standardized statewide course naming convention for SLDS purposes, deployed solely to enable comparison of students populations from various districts. These crosswalks will result in significant time and cost savings in that they will not require that LEAs make any changes to their current numbering and naming conventions. Testing and ongoing audit of these crosswalks is included in Outcome III activities.

| Category | Budget Justification | Cost |
|---|---|---|
| Personnel | Budgeted personnel costs for State of Alaska employees, based on percent of FTE as shown in the Personnel section of this narrative. | $174,459 |
| Fringe Benefits | Costs estimated using current State of Alaska benefit rates and health insurance costs (see Section C for formula). | 59,782 |
| Travel | The PMO will organize and disburse expenses for travel. | -- |
| Equipment | | -- |
| Supplies | Supply costs estimated at $5,000 annually, which includes office supplies and project documentation. | 15,000 |
| Contractual | At a minimum, the vendor will need to implement the electronic record and transcript exchange for all public P-12 districts and postsecondary institutions in Alaska, create a state data standard for record/transcript exchange, and develop and provide training materials for users and administrators. | 404,382 |
| Construction | | -- |
| Other | | -- |
| | **TOTAL COST – OUTCOME V** | **$653,623** |

The following table lists project costs by budget category for each of the three project years:

| Category | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|
| Personnel | $57,005 | 58,146 | 59,308 | 174,459 |
| Fringe Benefits | 19,526 | 19,925 | 20,331 | 59,782 |
| Supplies | 5,000 | 5,000 | 5,000 | 15,000 |
| Contractual | 284,294 | 60,044 | 60,044 | 404,382 |
| **Totals** | **$365,825** | **143,115** | **144,683** | **653,623** |

**Outcome V – Contractual**

The vendor will create and deploy a Web-based system that does not require hardware or software at local education agencies (LEAs) and other data providers/users relative to transcripts, other than the ability to connect to the Internet. The system will be developed by a contractor with national experience specific to this outcome, with functionality to accommodate various types of profiles and privileges, determine the appropriate format for sending the transcript data to the receiving entity and translate the data into that format. The system will include appropriate PII protection and internal controls.

| Description | Contractual Resources | Duration | Cost – Yr 1-3 |
|---|---|---|---|
| State setup, district registration, implementation and training, create data format and translations. | 1 Project Manager<br>Key Development Team | Full Time<br>8 Months | $224,250 |
| Annual subscription based on Alaska's PK-12 enrollment, including higher education exchange. | | | 180,132 |
| | | **TOTAL CONTRACTUAL – OUTCOME V** | **$404,382** |

**<u>Project Management Office (PMO)</u>**

*Cost projection: $1,133,646*

*The duration for this effort is for the lifecycle of the ANSWERS grant and beyond.*

The Project Management Office will be responsible for day-to-day oversight of Alaska's ANSWERS project and act as staff to the ANSWERS governance bodies. Project oversight activities will include generation of RFIs and RFPs; development of timelines and critical path documentation; project documentation such as scope documents, deliverables logs, and related WBS documents; coordination of contractual activities with staff activities; coordination

among state agencies; budget management and documentation for reporting; and compliance with all applicable policies and regulations, including grant terms and conditions. The PMO will additionally be charged with ensuring maximum efficiency of project structures and ensuring stakeholder inclusion and appropriate communication and training at each project stage.

| Category | Budget Narrative | Cost |
|---|---|---|
| Personnel | Budgeted personnel costs for State of Alaska employees, based on percent of FTE as shown in the Personnel section of this narrative. | $404,838 |
| Fringe Benefits | Costs estimated using current State of Alaska benefit rates and health insurance costs (see Section C for formula). | 137,408 |
| Travel | The PMO will organize and disburse expenses for travel. | 501,400 |
| Equipment | | -- |
| Supplies | Supply costs estimated at $5,000 annually, which includes office supplies and project documentation. | 15,000 |
| Contractual | Project evaluation. | 75,000 |
| Construction | | -- |
| Other | | -- |
| | **TOTAL COST – PROJECT MANAGEMENT OFFICE** | **$1,133,646** |

The following table lists project costs by budget category for each of the three project years:

| Category | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|
| Personnel | $141,531 | 135,051 | 128,256 | 404,838 |
| Fringe Benefits | 48,024 | 45,839 | 43,545 | 137,408 |
| Travel | 130,500 | 139,000 | 231,900 | 501,400 |
| Supplies | 5,000 | 5,000 | 5,000 | 15,000 |
| Contractual | -- | -- | 75,000 | 75,000 |
| **Totals** | **$325,055** | **324,890** | **483,701** | **1,133,646** |

**PMO – Contractual**

This contract is for an independent third party evaluator to conduct a review of the Alaska's ANSWERS project at the end of the grant period, including interviews with a variety of stakeholders. The contract deliverable is an evaluation report describing the challenges and successes associated with each of the five outcomes, and with the PMO, relative to the grant goals and requirements. The consultant will also make "next steps" recommendations.

| Description | Contractual Resources | Duration | Cost – Yr 3 |
|---|---|---|---|
| Analysis and review of Alaska's ANSWERS post project completion. | 1 Consultant | Full Time 3 months | $75,000 |
| **TOTAL CONTRACTUAL – PROJECT MANAGEMENT OFFICE** | | | **$75,000** |

**PERSONNEL**

The following provides a description of staff roles needed to accomplish the successful outcomes related to the SLDS project for Alaska and the estimated percent of time the position will be working on the project for each of the three project years.

**1. Assistant Director for Research and Analysis:**

This is a new upper management position which will function as project manager for Alaska's ANSWERS. The position will be fully funded by the grant and is expected to be permanent, with ongoing responsibility for management of the Alaska's ANSWERS SLDS, with the state providing funding for the position upon completion of the grant.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 100% | 100% | 100% |

**2. Program Coordinator (2 positions):**

These are two existing positions that will have portions of their current responsibilities reassigned in order to provide for the positions to coordinate specific the activities of the Alaska's ANSWERS project. One position will be deployed to coordinate activities of governance bodies, and the other will be deployed as liaison with school districts and staff of various program provider organizations.

**Position 1:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 35% | 35% | 35% |

**Position 2:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 20% | 15% | 10% |

**3. Director of Operations:**

This position is chief operating officer for the state's higher education agency and will be senior manager with oversight of the project management office, including supervising the project manager.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 30% | 25% | 20% |

**4. Administrative Manager:**

This position is an existing senior business analyst whose regular duties will be reassigned in order to leverage this position's expertise in support of the Alaska's ANSWERS project. The position will be charged with coordination of technical documentation and testing activities.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 50% | 50% | 50% |

**5. Economist:**

This position is a subject matter expert charged with leading complex data collections and performing analyses with statewide impact. The position will provide technical oversight and supervision of Alaska's ANSWERS Outcome #1, creating linkages and protecting student PII.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 30% | 30% | 30% |

**6. Director of Assessments:**

This position is a subject matter expert charged with leading complex data collections, performing analyses with statewide impact, and making associated policy recommendations. The position will provide technical oversight and supervision of Alaska's ANSWERS Outcome #2, expanding P-12 outcomes data.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 12% | 12% | 12% |

**7. Director of Information Support Services:**

This position is a state agency chief information officer and will be the senior manager leading business analysis and programming staff in development and deployment of the data mart and associated data audit systems comprising Alaska's ANSWERS Outcomes #3 and 4, as well as ensuring the data mart is designed and implemented to be sustainable using state resources subsequent to the grant project.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 50% | 50% | 50% |

**8. Division Operations Manager:**

This position is a subject matter expert responsible for policy formulation, strategic planning, issue resolution, and resource management. The position will supervise Alaska's ANSWERS Outcome #5, student transcripts, as well as provide oversight of the integration of the existing P-12 SLDS, created under the Unity Project, into the larger Alaska's ANSWERS P-Career SLDS.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 12% | 12% | 12% |

**9. Data Processing Manager (3 positions):**

These positions will supervise specific information systems efforts relative to Alaska's ANSWERS, including resolution of data processing problems, acting as liaison between data processing functions and larger project goals, and coordinating data processing planning and performance evaluation.

**Position 1:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 5% | 5% | 5% |

**Position 2:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 30% | 30% | 30% |

**Position 3**:

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 100% | 100% | 100% |

**10. Systems Programmer (2 positions):**

These positions are responsible for coordination of Alaska's ANSWERS information processing with the state's major operating systems and mainframe computer functions.

**Position 1:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 10% | 10% | 10% |

**Position 2:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 100% | 100% | 100% |

**11. Analysts Programmer (3 positions)**

These positions will implement the new data processing systems, or modify existing systems, in order to design, create (code), test and deploy applications to meet Alaska's ANSWERS outcomes requirements.

**Position 1:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 15% | 15% | 15% |

**Position 2**:

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 50% | 50% | 50% |

**Position 3:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 50% | 50% | 50% |

**12. Network Technician**

The Network Technician will maintain local area networks to ensure server-based Alaska's ANSWERS applications such as linkages function properly in the network environment.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 100% | 100% | 100% |

**13. Database Specialist**

The Database Specialist will install and maintain Alaska's ANSWERS databases, and monitor their usage, with emphasis on ensuring data is stored and secured in accordance with all applicable protocols, procedures, and policies.

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 15% | 15% | 15% |

**14. Research Analyst (2 positions)**

The Research Analysts will develop and maintain forms, procedures and queries relative to design, reporting, and utilization of the Alaska SLDS data. These positions will additionally create and maintain metadata applications.

**Position 1:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 10% | 10% | 10% |

**Position 2:**

| *Year 1 / FY11* | *Year 2 / FY12* | *Year 3 / FY13* |
|---|---|---|
| 100% | 100% | 100% |

**TRAVEL**

Significant travel expenses are needed to accomplish the goals of the ANSWERS project. The following listed events and activities served as the basis for estimating the annual travel costs.

1) Regional meetings with stakeholders
2) Executive governance board meetings
3) Quarterly data stewards governance meetings
4) Fact-finding visits to one urban and one rural school district
5) Project manager to speak at three intra-Alaska educators meetings
6) Four intra-Alaska district and partner SLDS liaison trips
7) Project manager and one other person annually to Washington, D.C.
8) Two project staff to industry group meeting
9) Regional training/data mart debut meetings

Travel costs are intended to support the expenses for necessary project staff travel and for two members of the project governance team to attend mandatory annual meetings in Washington, D.C., as required by the terms of this grant. One of the Alaska marketplace costs considered, due to Alaska's geographic isolation, are particularly high travel expenses since team members will need to travel throughout the state to enable inclusion and integration of all communities in this grant's projects.

| | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|
| Travel | $130,500 | 139,000 | 231,900 | 501,400 |

**SUPPLIES**

An expenditure of $30,000 per year is anticipated for operational supplies needed during the execution of this grant. Supplies were calculated as a fixed dollar amount based on experience with other large-scale statewide IT projects, and they include both office supplies and project documentation costs.

| | Year 1 | Year 2 | Year 3 | Total |
|---|---|---|---|---|
| Supplies | $30,000 | 30,000 | 30,000 | 90,000 |

**ITEMIZED CONTRACT BUDGETS**

The costs associated with each anticipated contract for each project year of the Alaska's ANSWERS SLDS grant are itemized below:

**Contract #1**: This contract will be responsible for the completion of contractor tasks described in Outcomes I, III, and IV. The costs associated with the contract are allocated to the budget of each of these Outcomes.

| Contract Component | Year One | Year Two | Year Three |
|---|---|---|---|
| Contract Personnel | $3,801,600 | 1,811,700 | 178,200 |
| Contract Travel/Supplies/Contingencies | 1,140,480 | 543,510 | 53,460 |
| Equipment & Software | 170,213 | 400,000 | -- |
| **Totals** | **$5,112,293** | **2,755,210** | **231,660** |

**Contract #2**: budgeted under Outcome II: Expansion of P-12 Program Outcomes Data Collected.

| Contract Component | Year One | Year Two | Year Three |
|---|---|---|---|
| Contract Personnel | $22,100 | 2,100 | 2,100 |

**Contract #3**: budgeted under Outcome V: Student Transcripts/Teacher Information.

| Contract Component | Year One | Year Two | Year Three |
|---|---|---|---|
| Annual Subscription | $40,029 | 40,029 | 40,029 |
| State Setup fee | 25,000 | -- | -- |
| District Registration | 2,750 | -- | -- |
| Implementation and Training | 16,500 | -- | -- |
| Creation of Data Format & Translations | 180,000 | -- | -- |
| Higher Ed Exchange | 20,015 | 20,015 | 20,015 |
| **Totals** | **$284,294** | **60,044** | **60,044** |

**Contract #4**: budgeted under Project Management Office.

| Contract Component | Year One | Year Two | Year Three |
|---|---|---|---|
| Analysis & Reporting | $ -- | -- | 75,000 |

**CONCLUSION**

The Alaska's ANSWERS project outcomes listed in this budget narrative correlate directly to the ARRA and IES-SLDS grant overarching goals, as well as to the required elements and capabilities. The projects were designed to create maximum access to data to inform and improve instruction and programs for Alaska's students, while also specifically identifying the options that create maximum efficiency in deployment of the funds for which Alaska will be steward. The details in this budget narrative and the project narrative document that the projects are thoughtfully designed based on Alaska's unique challenges, are appropriate to SLDS goals and sustainable into the future, and can be deployed quickly at minimum cost. The data accesses created as a result of this project will enable Alaska to answer pressing policy questions, to quantify the long-term costs and benefits of programs and interventions, and to make data-driven decisions to ensure that future programs are both effective and cost-efficient. Most important, however, is the benefit to Alaska's future students and citizens, who will have increased opportunity to access the benefits of postsecondary education and long-term economic success in the workforce.

# Budget Narrative

## Budget Narrative - ED 524 Section C Spreadsheet

Attachment 1:
Title: **ED 524 Section C - Alaska's ANSWERS** Pages: **2** Uploaded File: **G:\workgroups\SLDS Project\Final Versions\ED 524 Section C.pdf**

| ED-524 Section C | Alaska's ANSWERS | Total | FY 2011 | FY 2012 | FY 2013 |
|---|---|---|---|---|---|
| | **Personnel (% of effort per project year) (yr1%, yr2%, yr3%)** | | | | |
| | Administrative Manager (50%, 50%, 50%) | 130,843 | 42,753 | 43,608 | 44,482 |
| | Assessments Director (12%, 12%, 12%) | 33,641 | 10,992 | 11,212 | 11,437 |
| | Assistant Director Research and Analysis (100%, 100%, 100%) | 263,266 | 83,195 | 84,859 | 95,212 |
| | Data Processing Manager (100%, 100%, 100%) | 234,833 | 76,733 | 78,267 | 79,833 |
| | Data Processing Manager (30%, 30%, 30%) | 75,383 | 24,632 | 25,124 | 25,627 |
| | Data Processing Manager (5%, 5%, 5%) | 14,010 | 4,578 | 4,669 | 4,763 |
| | Database Specialist (15%, 15%, 15%) | 31,962 | 10,443 | 10,654 | 10,865 |
| | Director of Information Support Svcs. (50%, 50%, 50%) | 208,049 | 67,981 | 69,341 | 70,727 |
| | Director of Program Operations (30%, 25%, 20%) | 98,958 | 38,905 | 33,069 | 26,984 |
| | Division Operations Manager (12%, 12%, 12%) | 43,077 | 14,076 | 14,357 | 14,644 |
| | Economist (30%, 30%, 30%) | 96,960 | 31,682 | 32,316 | 32,962 |
| | Network Technician (100%, 100%, 100%) | 151,448 | 49,486 | 50,476 | 51,486 |
| | Program Coordinator (20%, 15%, 10%) | 24,161 | 10,573 | 8,088 | 5,500 |
| | Program Coordinator (35%, 35%, 35%) | 77,301 | 25,258 | 25,764 | 26,279 |
| | Programmer Analyst (15%, 15%, 15%) | 27,960 | 9,136 | 9,319 | 9,505 |
| | Programmer Analyst (50%, 50%, 50%) | 168,004 | 54,896 | 55,994 | 57,114 |
| | Programmer Analyst (50%, 50%, 50%) | 161,937 | 52,914 | 53,972 | 55,051 |
| | Research Analyst (10%, 10%, 10%) | 21,970 | 7,179 | 7,322 | 7,469 |
| | Research Analyst (100%, 100%, 100%) | 174,485 | 57,014 | 58,154 | 59,317 |
| | Systems Programmer (10%, 10%, 10%) | 27,072 | 8,846 | 9,023 | 9,203 |
| | Systems Programmer (100%, 100%, 100%) | 243,898 | 79,695 | 81,289 | 82,914 |
| 1 | **Total Personnel Costs** | 2,309,218 | 760,967 | 766,877 | 781,374 |
| 2 | **Fringe Benefits -** 25.59% of wages plus $910-950 per month for health insurance | 785,646 | 259,766 | 261,889 | 263,991 |
| | **Travel** | | | | |
| | Regional meeting with stakeholders (bring key individuals to ANC) | 127,500 | 20,900 | 22,600 | 84,000 |
| | Executive governance board meeting (JNU) | 76,500 | 16,500 | 18,000 | 42,000 |
| | Quarterly data stewards governance meetings (JNU) | 234,000 | 72,000 | 78,000 | 84,000 |
| | Project manager and one other person to DC | 16,200 | 5,000 | 5,400 | 5,800 |
| | Two people to industry group meeting | 11,600 | 3,600 | 3,800 | 4,200 |
| | Two people on fact-finding visit to one urban and one rural school district | 2,000 | 2,000 | - | - |
| | Project manager to speak at three intra-Alaska educators meetings | 12,000 | 3,700 | 4,000 | 4,300 |
| | EED to make four intra-Alaska trips related to this project | 15,600 | 4,800 | 5,200 | 5,600 |
| | DOLWD to make two intra-Alaska trips related to this project | 6,000 | 2,000 | 2,000 | 2,000 |
| 3 | **Total Travel** | 501,400 | 130,500 | 139,000 | 231,900 |
| | **Equipment** | | | | |
| | Server, software and secure data transfer system upgrade | 150,000 | 50,000 | 100,000 | - |
| | Additional storage, including system backups | 400,000 | - | 400,000 | - |
| | *Note: Equipment from contracts is detailed in the "Contractual" category.* | | | | |
| 4 | **Total Equipment** | 550,000 | 50,000 | 500,000 | - |

| | | | | | |
|---|---|---|---|---|---|
| | **Supplies** | | | | |
| | Office Supplies | 27,000 | 9,000 | 9,000 | 9,000 |
| | Project Documentation | 63,000 | 21,000 | 21,000 | 21,000 |
| **5** | **Total Supplies** | 90,000 | 30,000 | 30,000 | 30,000 |
| | **Contractual** | | | | |
| | **Outcome I: Data Match** | | | | |
| | Consulting | | | | |
| | Data analysis, build data staging and ETL platform | 4,447,872 | 4,447,872 | - | - |
| | Equipment | | | | |
| | Dell 2950 Server (quantity: 3) | 34,500 | 34,500 | - | - |
| | Dell 1950 Server with 4mb RAM (quantity: 6) | 42,966 | 42,966 | - | - |
| | Disk Array for SQL servers (quantity: 2) | 14,380 | 14,380 | - | - |
| | SAS RAID Controller (quantity: 2) | 598 | 598 | - | - |
| | 146gb 15K disk drives (quantity: 46) | 9,154 | 9,154 | - | - |
| | LiteSpeed Compression and Encryption Software (quantity: 2) | 3,412 | 3,412 | - | - |
| | SQL Server 2005 Enterprise 64-bit (quantity: 2) | 17,768 | 17,768 | - | - |
| | SQL Server 2005 Enterprise Processor 64-bit (quantity: 2) | 40,316 | 40,316 | - | - |
| | Windows Server 2003 Standard 64-bit (quantity: 3) | 2,373 | 2,373 | - | - |
| | Windows Server 2003 Standard (quantity: 6) | 4,746 | 4,746 | - | - |
| | **Outcome II: Expand P-12 Outcomes Data** | | | | |
| | Consulting | | | | |
| | Programming for software implementation | 26,300 | 22,100 | 2,100 | 2,100 |
| | **Outcome III: Data Audit & Outcome IV: Data Mart/Reporting** | | | | |
| | Consulting | | | | |
| | Design and build database and associated maintenance jobs | 2,231,658 | 494,208 | 1,737,450 | - |
| | Build reporting universe, reports, auditing universe, and audit reports | 617,760 | - | 617,760 | - |
| | Post implementation review and support | 231,660 | - | - | 231,660 |
| | Equipment | | | | |
| | Business Objects Enterprise Processor/License | 400,000 | - | 400,000 | - |
| | **Outcome V: Student Transcript/Teacher Information Inclusion** | | | | |
| | Consulting | | | | |
| | Initial set-up, district registrations, implementation and training | 44,250 | 44,250 | - | - |
| | Create data format and translations | 180,000 | 180,000 | - | - |
| | Annual subscription and higher ed exchange network option | 180,132 | 60,044 | 60,044 | 60,044 |
| | **Project Management Office** | | | | |
| | Consulting | | | | |
| | SLDS project evaluation | 75,000 | - | - | 75,000 |
| **6** | **Total Contractual** | 8,604,845 | 5,418,687 | 2,817,354 | 368,804 |
| **7** | **Construction** | - | - | - | - |
| **8** | **Other** | - | - | - | - |
| **9** | **Total Direct Costs (lines 1-8)** | 12,841,109 | 6,649,920 | 4,515,120 | 1,676,069 |
| **10** | **Indirect costs** | - | - | - | - |
| **11** | **Training Stipends** | - | - | - | - |
| **12** | **Total Costs (lines 9-11)** | 12,841,109 | 6,649,920 | 4,515,120 | 1,676,069 |